

**Annex II(E)**  
**Management System Checklist**  
**[for FSMS certification (based on ISO 22003-1: 2022)]**

**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 22003-1: 2022 and HKCAS SC-06 (Issue No. 7). 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 22003-1: 2022 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<b>REQUIREMENTS FOR CERTIFICATION BODIES</b>				
<b>Resource requirements</b>				
Does your certification body define certification functions for which competence shall be identified in accordance with Annex C of ISO 22003-1: 2022?	7.1.1	<input type="checkbox"/>		
Does your certification body define technical areas in accordance with Annex A of ISO 22003-1: 2022?	7.1.2	<input type="checkbox"/>		
Does your 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?	7.1.3	<input type="checkbox"/>		
Do evaluators of your certification body have knowledge of (one or more) evaluation methods (see ISO/IEC 17021-1: 2015, Annex B)? Does the evaluators demonstrate the ability to apply them?		<input type="checkbox"/>		
<b>Information requirements</b>				
Do certification documents of your certification body identify in detail the categories and subcategories in Table A.1 of ISO 22003-1: 2022 to which the FSMS applies?	8.2	<input type="checkbox"/>		
Does your certification body not authorize the use of the FSMS certification mark on the product and the product packaging? Product packaging, refers to ISO/IEC 17021-1:2015, clause 8.3, shall cover all product packaging, both primary packaging (which contains the product) and any outer or secondary packaging.	8.3	<input type="checkbox"/>		

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ISO 22003-1: 2022 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your 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.</p>	8.4	<input type="checkbox"/>		
<p><b>Process requirements</b></p>				
<p>Does your certification body require the applicant organization to provide the information concerning products and processes relevant to determination of the audit duration, as per Annexes A and B of ISO 22003-1: 2022?</p>	9.1.1	<input type="checkbox"/>		
<p>Does your certification body use Annex A of ISO 22003-1: 2022 to define the relevant scope for the organization applying for certification?</p>	9.1.2.2	<input type="checkbox"/>		
<p>Does the scope statement:</p> <ul style="list-style-type: none"> <li>- identify the category(s) or subcategory(s) in scope of certification for each site or sites; and</li> <li>- briefly describe the main types of activities/processes for the products and/or services that are audited by the certifying body?</li> </ul>		<input type="checkbox"/> <input type="checkbox"/>		
<p>Does the defined scope of certification not:</p> <ul style="list-style-type: none"> <li>- be misleading;</li> <li>- 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; and</li> <li>- include any promotional statements, brands or claims?</li> </ul>	9.1.2.3	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		

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ISO 22003-1: 2022 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your 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?</p>	9.1.3.2	<input type="checkbox"/>		
<p>Does your certification body have documented procedures for determining audit time?</p> <p>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?</p> <p>In determining the audit duration, does your certification body use the methodology described in Annex B of ISO 22003-1: 2022?</p> <p>Does your certification body record the audit time determined and the justification for the determination?</p>	9.1.4.2	<input type="checkbox"/>     <input type="checkbox"/>		
<p>In determining and documenting audit time needed, does your certification body determine:</p> <p>(a) the time for audit preparation;</p> <p>(b) 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 of ISO 22003-1: 2022;</p> <p>(c) the time for reporting and, if applicable, conducting post-audit activities;</p> <p>(d) where additional meetings are necessary (e.g. review meetings, coordination, audit team briefing), an increase in audit time can be required; and</p> <p>(e) where applicable and agreed, the time needed to ensure effective remote auditing or use of information and communication technology (ICT)?</p>	9.1.4.3	<input type="checkbox"/>          <input type="checkbox"/>		







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<p>Does your certification body consider the following aspects for the site selection:</p> <p>(a) results of internal audits, management reviews or previous audits;</p> <p>(b) records of complaints, product withdrawals/recalls, and other relevant aspects of corrective action;</p> <p>(c) variations in the site characteristics;</p> <p>(d) other relevant changes since the last audit?</p>	9.1.5.7 (Cont'd)	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>		
<p>If any site has a major nonconformity and satisfactory corrective action have not been implemented in the agreed time frame, does your certification body not grant or maintain for the whole multi-site organization pending satisfactory corrective action?</p>	9.1.5.8	<input type="checkbox"/>		
<p>Does your certification body identify and include in the scope of certification the processes of the FSMS implemented at each sampled site?</p>	9.1.5.9	<input type="checkbox"/>		
<p>The objectives of stage 1 are to 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. Does your certification body review the extent to which:</p> <p>(a) the organization has identified PRPs 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 organization's food safety hazards, and subsequent selection and categorization of control measures (combinations);</p> <p>(c) the FSMS includes adequate processes and methods for the identification and implementation of relevant food safety legislation;</p> <p>(d) the FSMS is designed to achieve the organization's food safety policy;</p>	9.3.2	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>		

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<p>(e) the FSMS implementation programme justifies proceeding to 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>	9.3.2 (Cont'd)	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>		
<p>Where an organization has implemented externally developed elements of a FSMS, does your certification body review the documentation included in the FSMS in stage 1 to determine if the combination of control measures:</p> <ul style="list-style-type: none"> <li>- is suitable for the organization;</li> <li>- was developed in conformity to the requirements of ISO 22000 or other sets of specified FSMS requirements; and</li> <li>- is kept up to date?</li> </ul>	9.3.3	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>		
<p>Does your certification body check the availability of relevant authorizations when collecting the information regarding the compliance to regulatory aspects?</p>	9.3.4	<input type="checkbox"/>		
<p>For FSMS, does your certification body carry out stage 1 at the client's premises in order to achieve the objectives stated above? In exceptional circumstances or events, all or part of stage 1 can take place off-site or remotely through the use of ICT, does your certification body provide the justification? Does your certification body provide the evidence demonstrating that stage 1 objectives are fully achieved?</p>	9.3.5	<input type="checkbox"/>		
<p>The interval between stage 1 and stage 2 shall not be longer than six months. Does your certification body repeat stage 1 if a longer interval is needed?</p>	9.3.6	<input type="checkbox"/>		

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Where your certification body conducts unannounced audits as part of surveillance activities, does your certification body describe and make known in advance to the certified clients the conditions under which such audits will be organized and conducted?	9.6.2	<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>Does your certification body ensure that a lead auditor or an auditor 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? Does your certification body take any corrective actions 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 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 and the committee members are conversant with the procedures and criteria? It may be necessary to 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 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?</p>	<p>HKCAS SC-06 4.1</p>	<p><input type="checkbox"/></p>		

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Regulations for HKAS Accreditation	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Does your certification body determine the interval between stage 1 and stage 2 audits and only conduct stage 2 audit after the findings identified in the stage 1 audit have been adequately resolved by the applicant organisation? Does your certification body justify the interval between stage 1 and stage 2 audits?	HKCAS SC-06 4.2	<input type="checkbox"/>		

