



FOOD SAFETY SYSTEM CERTIFICATION 22000

ANNEX 3: CB AUDIT REPORT TEMPLATE FSSC 22000-
QUALITY

INTRODUCTION

This annex details the content that is required in the audit reports:

1. Stage 1 audit report
2. Stage 2 audit report

Note: a stage 2 audit report shall be used for all audits that are not stage 1 audits.

Where separate stage 1 and stage 2 audits are conducted use the relevant sections of the template as separate reports.

A CB that is not generating client reports from the Portal shall ensure that their templates meet the requirements listed in this annex with regard to content (the order of the content is at the CB's discretion).

Audit checklists for ISO 22000:2018, the relevant PRP standard and the additional FSSC 22000 requirements are an inclusive part of the report and are to be issued with this report to the CB if they are separate documents.

The requirements for ISO 9001:2015 are incorporated into the ISO 22000:2018 checklist where there is synergy. Elements that relate only to ISO 9001:2015 are added as an additional checklist.

All information in the report template shall be uploaded into the Portal along with attachments in PDF (original audit report, checklists, audit plan, audit program). Where nonconformity reports are separate to the audit report these shall be zipped with the audit report to facilitate uploading into the Portal.

This template is designed for food manufacturing audits and the ISO/TS 22002-1:2009 PRP is used here. For other PRP's the CB shall replace this PRP content with the relevant PRP based on the scope of the audit.

Special Audits – CB to use own template, although aspects of this template can be used (in case of scope extensions etc.)

STAGE 1 AUDIT REPORT

Organization profile	
Registered legal name	
Registration	
Location	
Contact person	
General description of audited organization	
Seasonal activities	

Head Office (where appropriate)	
Registered legal name	
Trading name(s)	
Registration	
Location	
Contact person	
Number of sites	
Head office functions	

Off-site Activities (where appropriate)	
Registered legal name	
Trading name(s)	
Registration	
Location(s)	
Contact person	
Activities at locations	

Multi-sites (where appropriate)	
Registered legal name	
Trading name(s)	
Registration	
Location(s)	
Contact person	
Activities at locations	

Audit details	
CB Name and office location	
Audit language	
Audit team	
Name 1 (role)	
Name 2 (role)	
Audit objective	
Audit criteria	
Audit type	
Audit dates, times and locations (where applicable)	

Audit scope	
Food category	
Scope statement	
Exclusions (when appropriate and detailed)	
Verification of the scope statement	

Audit program and plan	
Audit program	
Deviation from audit program	
Audit plan	
Deviation from audit plan	

Review of clients' preparedness for stage 2	
Management system documentation	
Client's site-specific conditions	
Status with regard to: 1) Key performance 2) Processes 3) Objectives 4) Operation of MS	
Detail: 1) Processes and equipment used 2) Level of controls established 3) Applicable statutory and regulatory requirements	
Internal Audit	
Management Review	

Review for stage 2	
Allocation of resources	
Planning needs	

Areas of concern (could be classified as nonconformities during stage 2)	
Standard/Clause	Finding

Outcome of stage 1	
<input type="checkbox"/>	Stage 1 audit to be repeated
<input type="checkbox"/>	Proceed to stage 2 audit

STAGE 2 AUDIT REPORT

Organization profile	
Registered legal name	
Registration	
Location	
Contact person	
General description of audited organization	
Seasonal activities	

Head Office (where appropriate)	
Registered legal name	
Trading name(s)	
Registration	
Location	
Contact person	
Number of sites	
Head office functions	

Off-site Activities (where appropriate)	
Registered legal name	
Trading name(s)	
Registration	
Location(s)	
Contact person	
Activities at locations	

Multi-sites (where appropriate)	
Registered legal name	
Trading name(s)	
Registration	
Location(s)	
Contact person	
Activities at locations	

Audit scope	
Food category	
Scope statement	
Exclusions (when appropriate)	
Verification of the scope statement	

Audit details	
Certificate number	
CB Name and office location	
Audit language	
Audit team	
Name 1 (role)	
Name 2 (role)	
Name 3 (role)	
Audit objective	
Audit criteria	
Audit type	<input type="checkbox"/> Stage 2 <input type="checkbox"/> Surveillance (UA) <input type="checkbox"/> Surveillance <input type="checkbox"/> Recertification (UA) <input type="checkbox"/> Recertification <input type="checkbox"/> Transition
Audit Complexity	<input type="checkbox"/> Standalone FSSC 22000 audit <input type="checkbox"/> Combined/Integrated with other standards - Provide details:
Audit dates, times and locations (where applicable)	

Audit program and plan	
Audit program	
Deviation from audit program	
Audit plan	
Deviation from audit plan	

Audit details previous audit	
Audit type	
Audit date	
CB conducting audit	
Closure of NCs from previous audit	
Significant changes since last audit	

Executive summary	
Audit summary	
Conformation that audit objectives have been fulfilled	
Unresolved issues	

Summary of audit findings	
# Critical nonconformities	
# Major nonconformities	
# Minor nonconformities	

Audit recommendation	
Initial certification	Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>
Continue certification	Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>
Re-certification	Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>

CHECKLISTS

ISO 22000:2018/ISO 9001:2015		Conform*		Remark
Clause	Requirement	Yes	No	If No – detail NC reference Justify “not applicable” clauses
4	Context of the organization	<input type="checkbox"/>	<input type="checkbox"/>	
4.1	Understanding the organization and its context	<input type="checkbox"/>	<input type="checkbox"/>	
4.2	Understanding the needs and expectations of interested parties	<input type="checkbox"/>	<input type="checkbox"/>	
4.3	Determining the scope of the food safety management system	<input type="checkbox"/>	<input type="checkbox"/>	
4.4	Food safety/Quality management system	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				

ISO 22000:2018/ISO 9001:2015		Conform*		Remark
Clause	Requirement	Yes	No	If No – detail NC reference Justify “not applicable” clauses
5	Leadership	<input type="checkbox"/>	<input type="checkbox"/>	
5.1	Leadership and commitment	<input type="checkbox"/>	<input type="checkbox"/>	
5.2	Policy	<input type="checkbox"/>	<input type="checkbox"/>	
5.3	Organizational roles, responsibilities and authorities	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				

ISO 22000:2018/ISO 9001:2015		Conform*		Remark
Clause	Requirement	Yes	No	If No - detail NC reference Justify "not applicable" clauses
6	Planning	<input type="checkbox"/>	<input type="checkbox"/>	
6.1	Actions to address risks and opportunities	<input type="checkbox"/>	<input type="checkbox"/>	
6.2	Objectives of the food safetyQuality management system and planning to achieve them	<input type="checkbox"/>	<input type="checkbox"/>	
6.3	Planning of changes	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				

ISO 22000:2018/ISO 9001:2015		Conform*		Remark
Clause	Requirement	Yes	No	If No - detail NC reference Justify "not applicable" clauses
7	Support	<input type="checkbox"/>	<input type="checkbox"/>	
7.1	Resources	<input type="checkbox"/>	<input type="checkbox"/>	
7.2	Competence	<input type="checkbox"/>	<input type="checkbox"/>	
7.3	Awareness	<input type="checkbox"/>	<input type="checkbox"/>	
7.4	Communication	<input type="checkbox"/>	<input type="checkbox"/>	
7.5	Documented information	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				

ISO 9001:2015		Conform*		Remark
Clause	Requirement	Yes	No	If No – detail NC reference Justify “not applicable” clauses
8	Operation	<input type="checkbox"/>	<input type="checkbox"/>	
8.1	Operational planning and control	<input type="checkbox"/>	<input type="checkbox"/>	
8.2	Requirements for products and services	<input type="checkbox"/>	<input type="checkbox"/>	
8.3	Design and development of products and services	<input type="checkbox"/>	<input type="checkbox"/>	
8.4	Control of externally provided processes, products and services	<input type="checkbox"/>	<input type="checkbox"/>	
8.5	Production and service provision	<input type="checkbox"/>	<input type="checkbox"/>	
8.6	Release of products and services	<input type="checkbox"/>	<input type="checkbox"/>	
8.7	Control of nonconforming outputs	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				

ISO 22000:2018/ISO 9001:2015		Conform*		Remark
Clause	Requirement	Yes	No	If No – detail NC reference Justify “not applicable” clauses
9	Performance evaluation	<input type="checkbox"/>	<input type="checkbox"/>	
9.1	Monitoring, measuring, analysis and evaluation	<input type="checkbox"/>	<input type="checkbox"/>	
9.2	Internal audit	<input type="checkbox"/>	<input type="checkbox"/>	
9.3	Management review	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				

ISO 22000:2018/ISO 9001:2015		Conform*		Remark
Clause	Requirement	Yes	No	If No - detail NC reference Justify "not applicable" clauses
10	Improvement	<input type="checkbox"/>	<input type="checkbox"/>	
10.1	Nonconformity and corrective action	<input type="checkbox"/>	<input type="checkbox"/>	
10.2	Continual improvement	<input type="checkbox"/>	<input type="checkbox"/>	
10.3	Update of the food safety management system	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				

* indicate compliance (Yes), non-conformance (No), nonconformities to be detailed in nonconformity table;

ISO/TS 22002:1: 2009		Conform*		Remark
Clause	Requirement	Yes	No	If No - detail NC reference Justify "not applicable" clauses
4	Construction and layout of buildings	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				
5	Layout of premises and workspace	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				
6	Utilities - air, water, energy	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				
7	Waste disposal	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				
8	Equipment suitability, cleaning and maintenance	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				
9	Management of purchased materials	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				

ISO/TS 22002:1: 2009		Conform*		Remark
Clause	Requirement	Yes	No	If No - detail NC reference Justify "not applicable" clauses
10	Measures for prevention of cross-contamination	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				
11	Cleaning and sanitizing	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				
12	Pest control	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				
13	Personal hygiene and employee facilities	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				
14	Rework	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				
15	Product recall procedures	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				

ISO/TS 22002:1: 2009		Conform*		Remark
Clause	Requirement	Yes	No	If No - detail NC reference Justify "not applicable" clauses
16	Warehousing	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				
17	Product information/consumer awareness	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				
18	Food defense, biovigilance and bioterrorism	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				

* indicate compliance (Y), non-conformance (N), nonconformities to be detailed in nonconformity table; detail any not-applicable clauses with reasons

FSSC 22000, Additional Requirements		Conform*		Remark
Clause	Requirement	Yes	No	If No - detail NC reference Justify "not applicable" clauses
2.5.1	Management of services	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				
2.5.2	Product labelling	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				
2.5.3	Food defense	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				
2.5.4	Food fraud mitigation	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				
2.5.5	Logo use	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				
2.5.6	Product release	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				
2.5.7	Management of allergens (C, E, F, G, I, K)	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				

FSSC 22000, Additional Requirements		Conform*		Remark
Clause	Requirement	Yes	No	If No – detail NC reference Justify “not applicable” clauses
2.5.8	Environmental monitoring (C, I, K)	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				
2.5.9	Transport and delivery (FI)	<input type="checkbox"/>	<input type="checkbox"/>	
Summary:				

* indicate compliance (Y), non-conformance (N), nonconformities to be detailed in nonconformity table; detail any not-applicable clauses with reasons

NONCONFORMITIES

Critical Nonconformities					
#	Requirement Reference (std., clause)	Finding details (statement of NC and objective evidence)	Correction (to address immediate issue)	Root Cause Analysis (determine why it arose)	Corrective Action Plan (action to prevent repeat; person responsible, due date for completion)
1					
Reviewed by:				Review date:	
Evidence of correction/corrective action reviewed:					
Date of suspension:					
Date of new audit planned:					

Major Nonconformities					
#	Requirement Reference (std., clause)	Finding details (statement of NC and objective evidence)	Correction (to address immediate issue)	Root Cause Analysis (determine why it arose)	Corrective Action Plan (action to prevent repeat; person responsible, due date for completion)
1					
Reviewed by:				Review date:	
Evidence of correction/corrective action reviewed:				Outcome of follow-up audit:	
Date of follow-up audit:					

Minor Nonconformities						
#	Requirement Reference (std., clause)	Finding details (statement of NC and objective evidence)	Correction (to address immediate issue)	Root Cause Analysis (determine why it arose)	Corrective Action Plan (action to prevent repeat; person responsible; due date for completion)	Review (auditor/date of review; detail evidence reviewed; acceptance of correction and CAP for minors)
1						
2						
3						
4						
5						
6						

Audit Duration						
Audit duration calculation (auditor days)						
Audit time deviations						
Additional audit time for off-site activities						
<i>On-site audit time calculation</i>						
D	H	MS	FTE	FSSC Additional	QMS	FSSC Upgrade
Total time on-site						
Other standards						
Number of HACCP studies						
Number of employees (FTEs)						
Number of shifts						
Employees per shift (FTE)						
Off-site activities						

Annexes provided to client
Annex 1: Audit plan
Annex 2: Audit program
Annex 3: Attendance sheet

Auditing is based on sampling

The audit itself and this report represent only the extent of assessment that took place within the time available; as such they are a sample. They cover only what became evident at the time.

This report remains the property of the Certification Body.