

Annex IV Audit report template

The content of this report including a summary of the nonconformities shall be uploaded in the English language. The checklists and the completed NC forms can be uploaded in the local language.

Auditing is based on sampling	Reference
	ISO 17021-1, 9.4.8
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.	9.4.8.2.o)

Organization profile		
Description of the certified organization.		
		ISO 17021-1, 9.4.8
Registered legal name		9.4.8.2.b)
Registration	Chamber of Commerce and/or governmental registration number	9.4.8.2.b)
Location	Street address, city, country	9.4.8.2.b)
Contact person	Name, function, email, phone	9.4.8.2.b)
General description of audited organization		9.4.8.2.b)

		ISO 17021-1, 9.4.8
Head Office (where appropriate)		9.4.8.2.b)
Description of the role the head office. Does the company belong to a larger group with a central head office? Does the head office control certain functions pertinent to certification? Is the Head Office shown on the certificate.		
Registered legal name		9.4.8.2.b)
Trading name(s)		9.4.8.2.b)
Registration	Chamber of Commerce and/or governmental registration number	
Location	Street address, city, country	9.4.8.2.b)
Contact person	Name, function, email, phone	9.4.8.2.b)
Number of sites	Multiple site is possible for food chain categories A, E, F1 and G. There are exceptions for food chain categories C, D, I and K namely: <ul style="list-style-type: none"> Head office controlling certain function pertinent to certification (20% audit time reduction may be applicable) Organizations with off-site activities (a maximum of five 	9.4.8.2.b)

	off-site locations).	
Seasonal activities	All activities covered by the scope shall be audited	ISO 22003, 9.1.2

Executive summary		
		ISO 17021-1, 9.4.8
Summary of audit findings	<p>A statement on the conformity and the effectiveness of the management system together with a summary of the evidence relating to:</p> <ul style="list-style-type: none"> the capability of the management system to meet applicable requirements and expected outcomes; the internal audit and management review process; 	9.4.8.3.a)
Conformation that audit objectives have been fulfilled		9.4.8.3.c)
Unresolved issues	Record any unresolved resulting from the audit findings	9.4.8.2.m)

Audit scope		
		ISO 17021-1, 9.4.8
Food category	Food chain categories supporting the scope statement (multiple food chain categories may be applicable, see ISO/TS22003, Table A.1)	9.4.8.2.f)
Scope statement	Specify the products or product categories, processes and production sites that are covered by the food safety management system and mentioned on the certificate.	9.4.8.2.f)
Exclusions (when appropriate)	Describe the exclusions from the scope (exclusions may not have an (negative) influence on the certified end products).	9.4.8.2.f)
Verification of the scope statement	Confirm that the scope statement is appropriate	9.4.8.3.b)

Audit program and plan		
		ISO 17021-1, 9.4.8
Audit program	Upload document	
Deviation from audit program	Describe issues impacting the audit program and their reasons	9.4.8.2.h)
Audit plan	Upload document	

Deviation from audit plan	Describe issues impacting the audit plan and their reasons	9.4.8.2.g)
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Summary of audit findings		
		ISO 17021-1, 9.4.8
Critical nonconformities	Number and short description of critical nonconformities (raised or closed)	9.4.8.2.k)
Major nonconformities	Number and short description of major non-conformities (raised or closed)	9.4.8.2.k)
Minor nonconformities	Number and short description of minor nonconformities (raised or closed)	9.4.8.2.k)
Areas of concern (stage 1 only)	Number and short description a stage 1 finding that may lead to a nonconformity during the stage 2 audit.	9.4.8.2.k)

Audit details previous audit		
		ISO 17021-1, 9.4.8
Audit type		9.4.8.2.c)
Audit date		9.4.8.2.j)
CB conducting audit		9.4.8.2.a)
Closure of NC's from previous audit	CAP and objective evidence of closure of findings of previous audits.	9.4.8.2.r)

General findings		
		ISO 17021-1, 9.4.8
Legal compliance	Summarize the status, any governmental inspection findings, etc.	Requirement by Competent authorities
Change management	Summarize findings related to changes (e.g. compared to previous audit, to FSMS, etc.) and the effect on the operational FSMS.	9.4.8.2.l)
Complaints management	Summarize the food safety related complaints (including customer feedback) and the effect on the operational FSMS.	ISO 17021-1, 9.6.2.2
Recalls and withdrawals	Summarize the recalls/withdrawals, actual notification to the CB and the effect on the operational FSMS.	ISO 17021-1, 9.6.2.2
Use of FSSC 22000 logo (mark) and	Assess the correct use of logo and certification documents	9.4.8.2.r)

certification documents by the client		
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Food Safety Management System (ISO 22000:2005) findings		
		ISO 17021-1, 9.4.8
Food safety management system	Summary of findings related to ISO22K sections 4.1 and 4.2 while highlighting all of the sections shortly and in particular the ones where NC were noted including reference to the checklists with more details.	9.4.8.2.k) 9.4.8.3.a)
Management commitment	Summary of findings related to ISO22K sections 5.1 till 5.8 and highlight all of the sections shortly and in particular the ones where NC were noted including reference to the checklists with more details.	9.4.8.2.k) 9.4.8.3.a)
Resource management	Summary of findings related to ISO22K sections 6.1 till 6.4 and highlight all of the sections shortly and in particular the ones where NC were noted including reference to the checklists with more details.	9.4.8.2.k) 9.4.8.3.a)
Planning and realization of safe products	Summary of findings related to ISO22K sections 7.1 till 7.10 and highlight all of the sections shortly and in particular the ones where NC were noted including reference to the checklists with more details.	9.4.8.2.k) 9.4.8.3.a)
Validation, verification and improvement of the FSMS	Summary of findings related to ISO22K sections 8.1 till 8.5 and highlight all of the sections shortly and in particular the ones where NC were noted including reference to the checklists with more details.	9.4.8.2.k) 9.4.8.3.a)
Food Fraud Mitigation	Summary of findings related to Food Fraud mitigation	
Food Defense	Summary of findings related to food defense	

Prerequisite Program findings (name of PRP standard version)		
		ISO 17021-1, 9.4.8
Summary of PRP implementation	Summary of findings related to PRPs.	9.4.8.2.k)

	Highlight all of the sections of the relevant PRP(s) shortly and in particular the ones where NC were noted including reference to the checklists with more details	
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Additional Requirements findings		
Summary of all additional requirements	Summarize all the sections of the Additional Requirements shortly and in particular the ones where NC were noted including reference to the checklists with more details	ISO 17021-1, 9.4.8 9.4.8.2.k)

Audit recommendation		
		ISO 17021-1, 9.4.8
Stage 1 audit to be repeated	Documented conclusion for certification committee to proceed to stage 2 or certification meeting stage 1 objectives (9.3.1.2.2) or stage 2 objectives (9.3.1.3).	9.4.8.2.p)
Proceed to stage 2 audit		
Initial certification		
Continue certification		
Re-certification		

Audit details		
		ISO 17021-1, 9.4.8
Certificate number		ISO 17021-1, 8.2.2.d)
CB Name and office location		9.4.8.2.a)
Audit language	Mutually agreed language used during the audit	9.1.2.2. e)
<i>Audit team</i>		
Name 1 (role)	Lead auditor / auditor / technical expert / translator / etc.	9.4.8.2.i)
Name 2 (role)	Lead auditor / auditor / technical expert / translator / etc.	9.4.8.2.i)
Name 3 (role)	Lead auditor / auditor / technical expert / translator / etc.	9.4.8.2.i)
Audit objective	Confirm any special attention areas	9.4.8.2.e)
Audit criteria	Assessed policies, procedures and requirements.	9.4.8.2.d)
Audit type	Certification (stage 1 or stage 2) / surveillance / recertification / follow-up / upgrade / transfer / unannounced	9.4.8.2.c)
Audit dates and times	Start and finish date including times.	9.4.8.2.j)
Audit duration	Also state head office time (without	9.4.8.2.j)

calculation (auditor days)	production) – where applicable				
Audit time reduction	See exceptions				9.4.8.2.g) ISO 17021-1, 9.1.4 ISO 22003, 9.1.4
Additional audit time for off-site activities	See exceptions				9.4.8.2.g) ISO 17021-1, 9.1.4 ISO 22003, 9.1.4
<i>On-site audit time calculation</i>					
D	H	MS	FTE	FSSC addition	9.4.8.2.g) ISO 17021-1, 9.1.4 ISO 22003, 9.1.4
Other standards	Mention the other standards that are audited together with FSSC 22000. Also show audit type and man-days allocated to these standards.				9.4.8.2.n)
Number of HACCP studies	Describe details and cross check with audit time calculation.				9.4.8.2.g) ISO 17021-1, 9.1.4 ISO 22003, 9.1.4
Number of employees (FTEs)	Cross check with audit time calculation.				9.4.8.2.g) ISO 17021-1, 9.1.4 ISO 22003, 9.1.4
Number of shifts	Cross check with audit time calculation.				9.4.8.2.g) ISO 17021-1, 9.1.4 ISO 22003, 9.1.4
Employees per shift (FTE)	Cross check with audit time calculation.				9.4.8.2.g) ISO 17021-1, 9.1.4 ISO 22003, 9.1.4
<i>Off-site activities</i>					
Describe any third-party off-site services hired by auditee such as storage, transportation, production of semi-finished products, etc.					9.4.8.2.j)
Registered legal name					9.4.8.2.j)
Trading name(s)					9.4.8.2.j)
Scope					9.4.8.2.j) and f)
Location					9.4.8.2.j)

Annexes (in local language)
Annex 1: Audit plan and audit program (upload documents)
Annex 2: Attendance sheet
Annex 3: ISO 22000:2005 checklist
Annex 4: PRP standard checklist(s) applicable to scope (not audited during stage 1)
Annex 5: Additional FSSC requirements checklist