Annex 8.4 to the certification guidelines | Annex 6.7 of the Initiative Tierwohl inspection system: Self-assessment checklist for certification bodies

This checklist is used to document the self-assessment of the certification bodies operating in the QS scheme (QS) and/or the Initiative Tierwohl (ITW).  
To make it easier to use the self-assessment checklist, a joint document is provided for the QS scheme and the Initiative Tierwohl.

Self-assessment must be carried out at least once a calendar year and must take into account all scopes and procedures relevant to QS and ITW.  
It is recommended that the self-assessment be carried out at the end of the year and that the past calendar year be used as the period under review.   
The certification body documents the results of the self-assessment, any resulting measures and their results and sends them at **the latest by 31 January of each** year, unsolicited, by email to **systemkontroll@q-s.de.**

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| --- | --- |
| Information about the certification body (CB) |  |
| Name of the certification body |  |
| Address  (street, house number, postcode, town) |  |
| Review period for self-assessment |  |
| Self-assessment was conducted by |  |

| Criterion/requirements | Applicable for…? | | Remarks/Corrective Actions (CA)  and, if applicable, annex number | if applicable, deadline for implementing CA |
| --- | --- | --- | --- | --- |
| QS | ITW |
| **1 Organisation** | | | | | |
| Is there a Quality Management Manual that currently reflects all relevant scopes and procedures? | Select an item. | Select an item. |  | Please click to enter a date. |
| Has the Quality Management Manual been checked for compliance with the currently valid revisions and, if applicable, adapted (completeness, correctness)? | Select an item. | Select an item. |  | Please click to enter a date. |
| Was the Self-assessment checklist for the previous observation period submitted to QS or ITW? | Select an item. | Select an item. |  | Please click to enter a date. |
| Have all contact details that are relevant for QS or ITW and stored at the programme owner been checked for validity?  E.g.  - Head of certification body,  - Contact person and their representative  - Crisis manager and their representative | Select an item. | Select an item. |  | Please click to enter a date. |
| Is the information published by the certification body about the QS scheme and the ITW still accurate? (e.g. on the internet, in brochures, agreements, terms and conditions, etc.) | Select an item. | Select an item. |  | Please click to enter a date. |
| Has the objectivity of the persons working in the QS scheme or in ITW been checked to ensure that it is up to date and, if applicable, reconfirmed by them? | Select an item. | Select an item. |  | Please click to enter a date. |
| Were there any incidents during the reporting period in which objectivity could not be guaranteed? | Select an item. | Select an item. | If yes, please enclose a tabular overview in **numbered form as an annex** (name of the programme (QS/ITW), name of the person, reason, measure). | Please click to enter a date. |
| Were there any complaints in the review period in connection with the activities in the QS scheme or the ITW? | Select an item. | Select an item. | If yes, please enclose a tabular overview in **numbered form as an annex** (name of the programme (QS/ITW), reason, customer/location number, justified/unjustified decision, measures if applicable). | Please click to enter a date. |
| Was there any information during the review period that could have affected an existing certification (e.g. information from the programme owner, incidents/crises, other external information, media reports, etc.)? | Select an item. | Select an item. | If yes, please enclose a tabular overview in **numbered form as an annex** (name of the programme (QS/ITW), information, evaluation, measures). | Please click to enter a date. |
| Has a customer satisfaction analysis been carried out with regard to the activities in the QS scheme or the ITW? | Select an item. | Select an item. | If yes, please enclose a tabular overview in **numbered form as an annex** (name of the programme (QS/ITW), period, scope, results). | Please click to enter a date. |
| **2 Auditors and releasing persons** | | | | | |
| Is it possible to carry out the necessary QS and ITW-inspections properly and in a timely manner with the available human resources? | Select an item. | Select an item. |  | Please click to enter a date. |
| Were the internal training required during the reporting period carried out? | Select an item. | Select an item. | If yes, please enclose a tabular overview in **numbered form as an annex** (name of the programme (QS/ITW), date, QS-/ITW-Scope, type of training (in-person, online, telephone, etc.). | Please click to enter a date. |
| Were the internal witness audits which were required during the reporting period carried out? | Select an item. | Select an item. | If yes, please enclose a tabular overview in **numbered form as an annex** (name of the programme (QS/ITW), date, QS-/ITW-Scope, accompanied auditor, accompanying auditor). | Please click to enter a date. |
| Is compliance with the minimum number of audits per auditor and stage of approval by the next deadline (30 June) guaranteed? | Select an item. | Select an item. |  | Please click to enter a date. |
| **3 Certification procedure** | | | | | |
| Are suitable agreements in place for coordinated and non-coordinated companies for the implementation of the necessary QS and ITW inspections (access and intervention rights, performance of witness audits and additional surveillance audits)? | Select an item. | Select an item. |  | Please click to enter a date. |
| **Only QS:** Is it ensured that all spot audits required in the review period are carried out on time (including sample sizes for agricultural/production companies)? | Select an item. | Not applicable |  | Please click to enter a date. |
| **Only QS:** Were the companies at the agriculture/production stage selected risk-based for the performance of spot audits**?** | Select an item. | Not applicable |  | Please click to enter a date. |
| **Only ITW:** Were the stock checks during the review period carried out properly and on time? | Not applicable | Select an item. |  | Please click to enter a date. |
| Did any certifications/eligibility of delivery expire during the review period without a required follow-up audit being conducted? | Select an item. | Select an item. | If yes, please enclose a tabular overview in **numbered form as an annex** (name of the programme (QS/ITW), location number, production scope, justification). | Please click to enter a date. |
| Are there any corrective actions in the open or started state, even though the implementation deadline for the respective corrective action has already expired? | Select an item. | Select an item. |  | Please click to enter a date. |
| Did any companies refuse to allow audits to be carried out during the review period? | Select an item. | Select an item. | If yes, please enclose a tabular overview in **numbered form as an annex** (Name of the programme (QS/ITW), customer/location number, date, reason, decision of the certification body (justified/unjustified)). | Please click to enter a date. |

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Place, date Signature (Certification Body)

/ Diesen Absatz bitte nicht löschen. Inhalt bitte vor diesem Absatz /

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