|  |  |  |
| --- | --- | --- |
| **Certification Body** | **:** |  |
| **Address** | **:** |  |
| **Type of Scheme** | **:** | Product -  |
| **Date of Assessment** | **:** |  |
| **Type of Assessment** | **:** |  |
| **Team Leader/Assessor** | **:** |  |

**Finding:** C – Compliances; O – Observation; N – Nonconformity; T – To be assessed on-site; F – Further information required; NA – Not applicable

| Clause | Requirement | Comments Manual and/or Procedures reference | Finding |
| --- | --- | --- | --- |
| 4 | General Requirements |  |  |
| 4.1 | Legal and Contractual Matters |  |  |
| 4.1.1 | Legal Responsibility |  |  |
| 4.1.1 | How does the certification body demonstrate that it is a legal entity, or a defined part of a legal entity? |  |  |
| 4.1.2 | Certification Agreement |  |  |
| 4.1.2.1 | How does the certification body establish a legally enforceable agreement for the provision of its certification activities and details the responsibilities of the certification body and its clients? |  |  |
| 4.1.2.2 | Does the certification agreement require that the client at least, comply with the following? |  |  |
|  | 1. always fulfils the certification requirements (3.7) including implementing appropriate changes when they are communicated by the certification body;
 |  |  |
| b) if the certification applies to ongoing production, the certified product continues to fulfil the product requirements (3.8); |  |  |
| c) makes all necessary arrangements for 1. the conduct of the evaluation (3.3) and surveillance (if required), including provision for examining documentation and records, and access to the relevant equipment, location(s), area(s), personnel, and client's subcontractors, and;
2. investigation of complaints;
3. the participation of observers, if applicable;
 |  |  |
| d) makes claims regarding certification consistent with the scope of certification (3.10); |  |  |
| e) does not use its product certification in such a manner as to bring the certification body into disrepute and does not make any statement regarding its product certification which the certification body may consider misleading or unauthorized; |  |  |
| f) upon suspension, withdrawal, or termination of certification, it discontinues its use of all advertising matter that contains any reference thereto and takes action as required by the certification scheme ( e.g. returns certification documents) and takes any other required measure; |  |  |
| g) if the client provides copies of the certification documents to others, the documents shall be reproduced in their entirety or as specified in the certification scheme; |  |  |
| h) in making reference to its product certification in communication media such as documents, brochures or advertising, complies with the requirements of the certification body or as specified by the certification scheme; |  |  |
| i) complies with any requirements that may be prescribed in the certification scheme that relate to the use of marks of conformity, and on information related to the product; |  |  |
| j) keeps a record of all complaints made known to the client relating to the compliance with certification requirements and to make these records available to the certification body when requested; and1. takes appropriate action with respect to such complaints and any deficiencies found in products that affect compliance with the requirements for certification;
2. documents the actions taken;
 |  |  |
| k) informs the certification body, without delay, of changes that may affect its ability to conform with the certification requirements? |  |  |
| 4.1.3 | Use of License, Certificates and Marks of Conformity |  |  |
| 4.1.3.1 | How does the certification body exercise control as specified by the certification scheme over ownership, use and display of licenses, certificates, marks of conformity, and any other mechanisms for indicating a product is certified? |  |  |
| 4.1.3.2 | How are incorrect references to the certification scheme or misleading use of licenses, certificates, marks, or any other mechanism for indicating a product is certified, found in documentation or other publicity dealt with by suitable action? |  |  |
| 4.2 | Management of Impartiality |  |  |
| 4.2.1 | How does the certification body declare that its activities shall be undertaken impartially? |  |  |
| 4.2.2 | How does the certification body ensure that commercial, financial or other pressures do not compromise impartiality? |  |  |
| 4.2.3 | How does the certification body identify risks to its impartiality on an ongoing basis? Does this include those risks that arise from its activities, from its relationships, or from the relationships of its personnel (see 4.2.12)? However, such relationships may not necessarily present a certification body with a risk to impartiality. |  |  |
| 4.2.4 | If a risk to impartiality is identified, how does the certification body demonstrate how it eliminates or minimizes such risk? Is information made available to the mechanism specified in 5.2? |  |  |
| 4.2.5 | Does the certification body have top management commitment to impartiality? |  |  |
| 4.2.6 | How does the certification body and any part of the same legal entity and entities under its organizational control (7.6.4) ensure that it is not1. the designer, manufacturer, installer, distributer or maintainer of the certified product;
2. the designer, implementer, operator or maintainer of the certified process ;
3. the designer, implementer, provider or maintainer of the certified service ;
4. offer or provide consultancy (3.2) to its clients
5. offer or provide management system consultancy (3.3 of ISO/IEC 17021:2011) or internal auditing to its clients where the certification scheme requires the evaluation of the client’s management system?
 |  |  |
| 4.2.7 | How does the certification body ensure that activities of separate legal entities with which the certification body or the legal entity of which it forms a part has relationships do not compromise the impartiality of its certification activities? |  |  |
| 4.2.8 | When the separate legal entity in 4.2.7 offers or produces the certified product (including products to be certified) or offers or provides consultancy (3.2), how do the certification body´s management personnel and personnel in the review and certification decision making process ensure that they are not involved in the activities of the separate legal entity? Are the personnel of the separate legal entity involved in the management of the certification body, the review, or certification decision? |  |  |
| 4.2.9 | Are the certification body's activities marketed or offered as linked with the activities of an organization that provides consultancy (3.2)?Does the certification body state or imply that certification would be simpler, easier, faster or less expensive if a specified consultancy organization were used? |  |  |
| 4.2.10 | Does the certification body specify a period within which personnel shall not be used to review or make a certification decision for a product for which they have provided consultancy (3.2)? |  |  |
| 4.2.11 | Does the certification body take action to respond to any risks to its impartiality arising from the actions of other persons, bodies or organizations of which it becomes aware? |  |  |
| 4.2.12 | Do all certification body personnel, either internal or external, or committees, who could influence the certification activities, act impartially? |  |  |
| **4.3** | **Liability and Financing** |  |  |
| 4.3.1 | Does the certification body have adequate arrangements (e.g. insurance or reserves) to cover liabilities arising from its operations? |  |  |
| 4.3.2 | Does the certification body have the financial stability and resources required for its operations? |  |  |
| **4.4** | **Non-discriminatory Conditions** |  |  |
| 4.4.1 | Are the policies and procedures under which the certification body operates and their administration non-discriminatory?How does the CB ensure that procedures are not used to impede or inhibit access by applicants, other than as provided for in this International Standard? |  |  |
| 4.4.2 | How does the certification body make its services accessible to all applicants whose activities fall within the scope of its operations? |  |  |
| 4.4.3 | Does the CB ensure that access to the certification process is non-conditional upon the size of the client or membership of any association or group, or upon the number of certifications already issued?Are there any undue financial or other conditions? |  |  |
| 4.4.4 | How does the certification body confine its requirements, evaluation, review, decision, and surveillance (if any) to those matters specifically related to the scope of the certification? |  |  |
| **4.5** | **Confidentiality** |  |  |
| 4.5.1 | How is the certification body responsible, through legally enforceable commitments, for the management of all information obtained or created during the performance of certification activities?Except for information that the client makes publicly available, or when agreed between the certification body and the client (e.g. for the purpose of responding to complaints), is all other information considered proprietary information and regarded as confidential?Does the certification body inform the client, in advance, of the information it intends to place in the public domain? |  |  |
| 4.5.2 | When the certification body is required by law or authorized by contractual arrangements to release confidential information, is the client or person concerned, unless prohibited by law, notified of the information provided? |  |  |
| 4.5.3 | Is information about the client obtained from sources other than the client (e.g. complainant, regulators) treated as confidential? |  |  |
| **4.6** | **Publicly Available Information** |  |  |
|  | How does the certification body maintain (through publications, electronic media or other means) and make available on request, the following:1. information about (or reference to) the certification scheme(s), including evaluation procedures, rules and procedures for granting, maintaining, extending or reducing the scope of, suspending, withdrawing or refusing certification;
2. a description of the means by which the certification body obtains financial support and general information on the fees charged to applicants and to clients;
 |  |  |
|  | 1. a description of the rights and duties of applicants and clients, including requirements, restrictions or limitations on the use of the certification body's name and certification mark and on the ways of referring to the certification granted;
2. information about procedures for handling complaints and appeals?
 |  |  |
| 5 | **Structural requirements** |  |  |
| **5.1** | **Organizational Structure and Top Management** |  |  |
| 5.1.1 | Are certification activities structured and managed so as to safeguard impartiality? |  |  |
| 5.1.2 | Does the certification body document its organizational structure, showing duties, responsibilities and authorities of management and other certification personnel and any committees?When the certification body is a defined part of a legal entity, how does the structure include the line of authority and the relationship to other parts within the same legal entity? |  |  |
| 5.1.3 | Has the management of the certification body identified the board, group of persons, or person having overall authority and responsibility for each of the following:1. development of policies relating to the operation of the certification body;
2. supervision of the implementation of the policies and procedures;
3. supervision of the finances of the certification body;
4. development of certification activities;
5. development of certification requirements;
6. evaluation (see clause 7.4);
7. review (see clause 7.5);
8. decisions on certification (see clause 7.6);
9. delegation of authority to committees or personnel to undertake defined activities on its behalf;
10. contractual arrangements;
11. provision of adequate resources for certification activities;
12. responsiveness to complaints and appeals;
13. personnel competence requirements;
14. management system (see clause 8)
 |  |  |
| 5.1.4 | Does the certification body have formal rules for the appointment, terms of reference and operation of any committees that are involved in the certification process (see 7)? Are such committees free from any commercial, financial and other pressures that might influence decisions?How does the certification body retain authority to appoint and withdraw members of such committees? |  |  |
| **5.2** | **Mechanism for Safeguarding Impartiality** |  |  |
| 5.2.1 | Does the certification body have a mechanism for safeguarding its impartiality?Does the mechanism provide input on:1. the policies and principles relating to the impartiality of its certification activities;
2. any tendency on the part of a certification body to allow commercial or other considerations to prevent the consistent impartial provision of certification activities;
3. matters affecting impartiality and confidence in certification, including openness?
 |  |  |
| 5.2.2 | Is the mechanism formally documented to ensure:1. a balanced representation of significantly interested parties such that no single interest predominates (internal or external personnel of the certification body are considered to be a single interest, and shall not predominate);
2. access to all the information necessary to enable it to fulfill all its functions?
 |  |  |
| 5.2.3 | If the top management of the certification body does not follow the input of this mechanism, does the mechanism have the right to take independent action (e.g. informing authorities, accreditation bodies, stakeholders)?In taking appropriate action, is the confidentiality requirements of 4.5 relating to the client and certification body respected? |  |  |
| 5.2.4 | Does the certification body identify and invite significantly interested parties? |  |  |
| 6 | Resource Requirements |  |  |
| 6.1 | Certification Body Personnel |  |  |
| 6.1.1 | General |  |  |
| 6.1.1.1 | Does the certification body employ or have access to a sufficient number of personnel to cover its operations related to the certification schemes and to the applicable standards and other normative documents? |  |  |
| 6.1.1.2 | Are the personnel competent for the functions they perform, including making required technical judgments, defining policies and implementing them? |  |  |
| 6.1.1.3 | How do personnel, including any committee members, personnel of external bodies, or personnel acting on the certification body's behalf, keep confidential all information obtained or created during the performance of the certification activities, except as required by law or by the certification scheme? |  |  |
| **6.1.2** | **Management of Competence for Personnel Involved in the Certification Process** |  |  |
| 6.1.2.1 | Has the certification body established, and does it implement and maintain a procedure for management of competencies of personnel involved in the certification process (see 7)? Does the procedure require the certification body to:1. determine the criteria for the competence of personnel for each function in the certification process taking into account the requirements of the schemes;
2. identify training needs and provide, as necessary, training programs on certification processes, requirements, methodologies, activities and other relevant certification scheme requirements;
3. demonstrate that the personnel have the required competencies for the duties and responsibilities they undertake;
4. formally authorize personnel for functions in the certification process;
5. monitor the performance of the personnel?
 |  |  |
| 6.1.2.2 | Does the certification body maintain the following records on the personnel involved in the certification process (see 7):1. name and address;
2. employer(s) and position held;
3. educational qualification and professional status;
4. experience and training;
5. the assessment of competence;
6. performance monitoring;
7. authorizations held within the certification body;
8. date of most recent updating of each record?
 |  |  |
| **6.1.3** | **Contract with Personnel** |  |  |
|  | Does the certification body require personnel involved in the certification process to sign a contract or other document by which they commit themselves to:1. comply with the rules defined by the certification body, including those relating to confidentiality (see 4.5) and independence from commercial and other interests;
2. declare any prior and/or present association on their own part, or on the part of their employer, with:
	1. a supplier or designer of products, or
	2. a provider or developer of services, or
	3. an operator or developer of processes

to the evaluation or certification of which they are to be assigned; and1. reveal any situation known to them that may present them or the certification body with a conflict of interest (see 4.2)?

How does the certification body use this information as input to identify risks to impartiality raised by the activities of such personnel or by the organizations that employ them (see 4.2.3)? |  |  |
| **6.2** | **Resources for Evaluation** |  |  |
| **6.2.1** | **Internal Resources**When the certification body performs evaluation activities either with its internal resources or with other resources under its direct control, does it ensure it meets the applicable requirements of the relevant International Standards and, as specified by the certification scheme, of other documents?The relevant International Standards include for testing ISO/IEC 17025, for inspection ISO/IEC 17020 and for management system auditing ISO/IEC 17021.Are the impartiality requirements of the evaluation personnel stipulated in the relevant standard always applicable? |  |  |
| **6.2.2** | **External Resources (Outsourcing)** |  |  |
| 6.2.2.1 | Does the certification body only outsource evaluation activities to bodies that meet the applicable requirements of the relevant International Standards and, as specified by the certification scheme of other documents?The relevant International Standards include for testing ISO/IEC 17025, for inspection ISO/IEC 17020 and for management system auditing ISO/IEC 17021. Are the impartiality requirements of the evaluation personnel stipulated in the relevant standard always applicable? |  |  |
| 6.2.2.2 | Where evaluation activities are outsourced to non independent bodies (e.g. client laboratories), how does the certification body assure that the evaluation activities are managed in a manner which provides confidence in the results, and that records are available to justify the confidence? |  |  |
| 6.2.2.3 | Does the certification body have a legally binding contract with the body that provides the outsourced service, including confidentiality and conflict of interest as described in 6.1.3 c)? |  |  |
| 6.2.2.4 | Does the certification body:1. take responsibility for all activities outsourced to another body;
2. ensure that the body that provides outsourced services, and the personnel that it uses, are not involved, either directly or through any other employer, in such a way that the credibility of the results could be compromised;
3. have documented policies, procedures and records for the qualification, assessing and monitoring of all bodies that provide outsourced services used for certification activities;
4. maintain a list of approved providers of outsourced services;
5. implement corrective actions for any breaches of the contract in 6.2.2.3 or other requirements in 6.2.2 of which it becomes aware; and
6. inform the client in advance of outsourcing activities, to provide the client an opportunity to object?
 |  |  |
| **7** | **Process Requirements** |  |  |
| **7.1** | **General** |  |  |
| 7.1.1 | Does the certification body operate one or more certification scheme(s) covering its certification activities? |  |  |
| 7.1.2 | Are the requirements against which the products of a client are evaluated contained in specified standards and other normative documents?  |  |  |
| 7.1.3 | If explanations are required as to the application of these documents (see 7.1.2) for a specific certification scheme, how are they formulated by relevant and impartial persons or committees possessing the necessary technical competence, and made available by the certification body upon request? |  |  |
| **7.2** | **Application** |  |  |
|  | For application, does the certification body obtain all the necessary information to complete the certification process according to the relevant certification scheme? (product(s), standard(s), client information – location, facilities, resources, etc) |  |  |
| **7.3** | **Application Review** |  |  |
| 7.3.1 | Does the certification body conduct a review of the information obtained (7.2) to ensure that:1. the information about the client and the product is sufficient for the conduct of the certification process;
2. any known difference in understanding between the certification body and the client is resolved including agreement regarding standard or normative document;
3. the scope of certification sought is defined;
4. the means to perform all evaluation activities are available;
5. the certification body has the competence and capability to perform the certification activity?
 |  |  |
| 7.3.2 | Does the certification body have a process to identify when the client´s request for certification includes:* a type of product; or
* a normative document; or
* a certification scheme

where the certification body has no prior experience? |  |  |
| 7.3.3 | In these cases (7.3.2) how does the certification body ensure it has the competence and capability for all certification activities it must undertake and maintain a record of the justification for the decision to undertake certification? |  |  |
| 7.3.4 | Does the certification body decline to undertake a specific certification if it lacks any competence or capability for the certification activities? |  |  |
| 7.3.5 | If the certification body relies on certifications it has already granted to the client or has already granted to other clients to omit any activities, how does the certification body then reference the existing certification(s) in its records? If requested by the client, does the certification body provide justification for omission of activities? |  |  |
| **7.4** | **Evaluation** |  |  |
| 7.4.1 | Does the certification body have a plan for the evaluation activities to allow for the necessary arrangements to be managed? |  |  |
| 7.4.2 | Does the certification body assign personnel to perform each evaluation task which it undertakes with its internal resources (6.2.1*)*? |  |  |
| 7.4.3 | Does the certification body ensure all needed information and/or documentation is made available for performing the evaluation tasks? |  |  |
| 7.4.4 | How does the certification body carry out the evaluation activities which it undertakes with its internal resources (6.2.1) and manage outsourced resources, (6.2.2) in accordance with the evaluation plan (7.4.1)?Are the products evaluated against the requirements covered by the scope of certification and other requirements specified in the certification scheme? |  |  |
| 7.4.5 | Does the certification body only rely on evaluation results related to certification completed prior to the application for certification where it takes responsibility for the results and satisfies itself that the body that performed the evaluation fulfils the requirements contained in 6.2.2 and those specified by the certification scheme? |  |  |
| 7.4.6 | Does the certification body inform the client of all nonconformities? |  |  |
| 7.4.7 | If one or more nonconformities have arisen, and if the client expresses interest in continuing the certification process, does the certification body provide information regarding the additional evaluation tasks needed to verify that nonconformities have been corrected? |  |  |
| 7.4.8 | If the client agrees to completion of the additional evaluation tasks, is the process specified in 7.4 repeated to complete the additional evaluation tasks? |  |  |
| 7.4.9 | Are the results of all evaluation activities documented prior to review (7.5)? |  |  |
| **7.5** | **Review** |  |  |
| 7.5.1 | Does the certification body assign at least one person to review all information and results related to the evaluation?Is the review carried out by person(s) who have not been involved in the evaluation process? |  |  |
| 7.5.2 | Are recommendations for a certification decision based on the review documented? (unless if the review and certification decision are completed concurrently by the same person) |  |  |
| **7.6** | **Certification Decision** |  |  |
| 7.6.1 | Is the certification body responsible for and how does it retain authority for its decisions relating to certification? |  |  |
| 7.6.2 | Does the certification body assign at least one person to make the certification decision based on all information related to the evaluation, its review, and any other relevant information? Is the certification decision carried out by a person or group of persons (e.g. a committee, see 5.1.4) who has not been involved in the process for evaluation (7.4)? |  |  |
| 7.6.3 | Are the person(s) (excluding members of committees – see 5.1.4) assigned by the certification body to make a certification decision employed by or under contract with* the certification body (see 6.1); or
* an entity under the organizational control of the certification body (see 7.6.4)?
 |  |  |
| 7.6.4 | Is the certification body’s organizational control:* whole or majority ownership of another entity by the certification body; or
* majority participation by the certification body on the Board of Directors of another entity; or
* documented authority by the certification body over another entity in a network of legal entities (in which the certification body resides) linked by ownership or Board of Directors control?
 |  |  |
| 7.6.5 | Do the persons employed by or under contract with entities under organisational control fulfill the same requirements of this International Standard, as persons being under employment or contract with the certification body? |  |  |
| 7.6.6 | Does the certification body notify the client of a decision not to grant certification, identifying the reasons for the decision? |  |  |
| **7.7** | **Certification Documentation** |  |  |
| 7.7.1 | Does the certification body provide to the client formal certification documentation that clearly conveys, or permits identification of:1. the name and address of the certification body;
2. the date certification is granted; the date shall not precede the date the certification decision was completed;
3. the name and address of the client;
4. the scope of certification (3.10);
5. the term or expiration date of certification if certification expires after an established period; and
6. any other information required by the certification scheme?
 |  |  |
| 7.7.2 | Does formal certification documentation include the signature or other defined authorization of the person(s) of the certification body assigned such responsibility? |  |  |
| 7.7.3 | Is formal certification documentation (7.7) only issued after or concurrent with:1. the decision to grant or extend the scope of certification (7.6.1) has been made; and
2. certification requirements being fulfilled; and
3. the certification agreement (4.1.2) has been completed/signed?
 |  |  |
| **7.8** | **Directory of Certified Products** |  |  |
|  | Does the certification body maintain information on certified products which contains at least:1. identification of the product;
2. the standard(s) and other normative documents to which conformity has been certified;
3. identification of the client.

Are the parts of this information which needs to be published or made available on request (through publications, electronic media or other means) in a directory stipulated by the relevant scheme(s)? As a minimum, does the certification body inform upon request the validity of a given certification? |  |  |
| **7.9** | **Surveillance** |  |  |
| 7.9.1 | If surveillance is required by the certification scheme or as described in subclauses 7.9.3 or 7.9.4, does the certification body initiate surveillance of the product(s) covered by the certification decision in accordance with the certification scheme? |  |  |
| 7.9.2 | When surveillance utilizes evaluation, review or certification decision, are the requirements in 7.4, 7.5 or 7.6 fulfilled? |  |  |
| 7.9.3 | When continuing use of a certification mark is authorized for placement on a product (or its packaging, or information accompanying it) (for process or service, see 7.9.4) of a type which has been certified, is surveillance established and does it include periodic surveillance of marked products to assure ongoing validity of the demonstration of fulfilment of product requirements? |  |  |
| 7.9.4 | When continuing use of a certification mark is authorized for a process or service, is surveillance established and does it include periodic surveillance activities to ensure ongoing validity of the demonstration of fulfilment of process or service requirements? |  |  |
| 7.10 | Changes Affecting Certification |  |  |
| 7.10.1 | When the certification scheme introduces new or revised requirements that affect the client how does the certification body ensure these changes are communicated to all clients?Does the certification body verify the implementation of the changes by its clients and does it take actions required by the scheme? |  |  |
| 7.10.2 | Does the certification body consider other changes affecting certification including changes initiated by the client and decide upon the appropriate action? |  |  |
| 7.10.3 | Do the actions to implement changes affecting certification include, if required:* evaluation (see 7.4);
* review (see 7.5);
* decision (see 7.6);
* issuance of revised formal certification documentation (see 7.7) to extend or reduce the scope of certification; and/or
* issuance of certification documentation of revised surveillance activities (if surveillance is part of the certification scheme)?

Are these actions completed in accordance with applicable parts of 7.4, 7.5, 7.6, 7.7 and 7.8? Do records (see 7.12) include the rationale for excluding any of the above activities (e.g. when a certification requirement that is not a product requirement changes and no evaluation, review or decision activities are necessary)? |  |  |
| **7.11** | **Termination, Reduction, Suspension or Withdrawal of Certification** |  |  |
| 7.11.1 | When a nonconformity with certification requirements is substantiated, either as a result of surveillance or otherwise, does the certification body consider and decide upon the appropriate action? (eg increased surveillance, reduction in scope to remove nonconforming products, suspension of certification, withdrawal of certification) |  |  |
| 7.11.2 | When the appropriate action includes evaluation, review or certification decision, are the requirements in 7.4, 7.5 or 7.6 fulfilled? |  |  |
| 7.11.3 | If certification is terminated (by request of the client), suspended or withdrawn, does the certification body take actions specified by the certification scheme and does it make all needed modifications to formal certification documents, public information, authorizations for use of marks, etc. to ensure it provides no indication that the product continues to be certified?  |  |  |
|  | If a scope of certification is reduced, does the certification body take actions specified by the certification scheme and does it make all needed modifications to formal certification documents, public information, authorizations for use of marks, etc. to ensure the reduced scope of certification is clearly communicated to the client and clearly described in certification documentation and public information? |  |  |
| 7.11.4 | If certification is suspended, does the certification body assign one or more persons to formulate and communicate to the client:* actions needed to end suspension and restore certification for the product(s) in accordance with the certification scheme; and
* any other actions required by the certification scheme?

Are these persons competent in their knowledge and understanding of all aspects of the handling of suspended certifications (6.1)? |  |  |
| 7.11.5 | Are evaluations, reviews or decisions needed to resolve the suspension or that are required by the certification scheme, completed in accordance with the applicable parts of sub clauses 7.4, 7.5, 7.6, 7.7.3 and 7.9 and 7.11.3? |  |  |
| 7.11.6 | If certification is reinstated after suspension, does the certification body make all needed modifications to formal certification documents, public information, authorizations for use of marks, etc. to ensure all appropriate indications exist that the product continues to be certified? If a decision to reduce the scope of certification is made as a condition of reinstatement, does the certification body make all needed modifications to formal certification documents, public information, authorizations for use of marks, etc. to ensure the reduced scope of certification is clearly communicated to the client and clearly described in certification documentation and public information? |  |  |
| **7.12** | Records |  |  |
| 7.12.1 | Does the certification body retain records to demonstrate that all certification process requirements (in this International Standard and those of the certification scheme) have been effectively fulfilled (see also 8.4)? |  |  |
| 7.12.2 | How does the certification body keep records confidential? How are records transported, transmitted and transferred in a way that ensures confidentiality is maintained (see also 4.5)? |  |  |
| 7.12.3 | If the certification scheme involves complete re-evaluation of the product(s) within a determined cycle, are records retained at least for the current and the previous cycle? Otherwise, are records retained for a period defined by the certification body? |  |  |
| **7.13** | **Complaints and Appeals** |  |  |
| 7.13.1 | Does the certification body have a documented process to receive, evaluate and make decisions on complaints and appeals? How does the certification body record and track complaints and appeals and actions undertaken to resolve them? |  |  |
| 7.13.2 | Upon receipt of a complaint or appeal, how does the certification body confirm whether the complaint or appeal relates to certification activities for which it is responsible, and if so, does the CB address it? |  |  |
| 7.13.3 | How does the certification body acknowledge receipt of a formal complaint or appeal? |  |  |
| 7.13.4 | Does the certification body gather and verify all necessary information (to the extent possible) to progress the complaint or appeal to a decision? |  |  |
| 7.13.5 | Is the decision resolving the complaint or appeal made by, or reviewed and approved by, person(s) not involved in the certification activities related to the complaint or appeal? |  |  |
| 7.13.6 | To ensure that there is no conflict of interest, are personnel including those acting in a managerial capacity who have provided consultancy (3.2) for, or been employed by a client, prevented from being used by the certification body to review or approve the resolution of a complaint or appeal for that client within two years following the end of the consultancy or employment? |  |  |
| 7.13.7 | Whenever possible, does the certification body give formal notice of the outcome and end of the complaint process to the complainant? |  |  |
| 7.13.8 | How does the certification body give formal notice of the outcome and end of the appeal process to the appellant? |  |  |
| 7.13.9 | Does the certification body take any needed subsequent action to resolve the complaint or appeal? |  |  |
| **8** | **Management System Requirements** |  |  |
| **8.1** | **Options** |  |  |
| **8.1.1** | **General**Has the certification body established and does it maintain a management system that is capable of achieving the consistent fulfilment of the requirements of this International Standard in accordance with either Option A or Option B? |  |  |
| **8.1.2** | **Option A**The management system of the certification body shall address the following:* General management system documentation (e.g., manual, policies, definition of responsibilities, see 8.2);
* Control of documents (see 8.3);
* Control of records (see 8.4);
* Management review (see 8.5);
* Internal audit (see 8.6);
* Corrective actions (see 8.7);
* Preventive actions (see 8.8).
 |  |  |
| **8.1.3** | **Option B**A certification body that has established and maintains a management system in accordance with the requirements of ISO 9001, and that is capable of supporting and demonstrating the consistent fulfillment of the requirements of this International Standard, fulfils the management system clause (see 8.2 to 8.8) requirements. |  |  |
| **8.2** | **General Management System Documentation (Option A)** |  |  |
| 8.2.1 | Does the certification body's top management establish, document, and maintain policies and objectives for fulfilment of this international standard and the certification scheme and how does it ensure the policies and objectives are acknowledged and implemented at all levels of the certification body’s organization? |  |  |
| 8.2.2 | Does the certification body's top management provide evidence of its commitment to the development and implementation of the management system and its effectiveness in achieving consistent fulfillment of this International Standard? |  |  |
| 8.2.3 | Has the certification body's top management appointed a member of management who, irrespective of other responsibilities, shall have responsibility and authority that include:1. ensuring that processes and procedures needed for the management system are established, implemented and maintained, and
2. reporting to top management on the performance of the management system and any need for improvement.
 |  |  |
| 8.2.4 | Are all documentation, processes, systems, records, etc. related to the fulfilment of the requirements of this International Standard included, referenced, or linked to documentation of the management system? |  |  |
| 8.2.5 | Do all personnel involved in certification activities have access to the parts of the management system documentation (and related information above) that is applicable to their responsibilities? |  |  |
| **8.3** | **Control of Documents (Option A)** |  |  |
| 8.3.1 | Has the certification body established procedures to control the documents (internal and external) that relate to the fulfilment of this International Standard?  |  |  |
| 8.3.2 | Do the procedures define the controls needed to:1. approve documents for adequacy prior to issue;
2. review and update as necessary and re-approve documents;
3. ensure that changes and the current revision status of documents are identified;
4. ensure that relevant versions of applicable documents are available at points of use;
5. ensure that documents remain legible and readily identifiable;
6. ensure that documents of external origin are identified and their distribution controlled; and
7. prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose?
 |  |  |
| **8.4** | **Control of Records (Option A)** |  |  |
| 8.4.1 | Has the certification body established procedures to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of its records related to the fulfilment of this International Standard? |  |  |
| 8.4.2 | Has the certification body established procedures for retaining records (7.12) for a period consistent with its contractual and legal obligations? Is access to these records consistent with the confidentiality arrangements? |  |  |
| **8.5** | **Management Review (Option A)** |  |  |
| **8.5.1** | **General** |  |  |
| 8.5.1.1 | Has the certification body's top management established procedures to review its management system at planned intervals to ensure its continuing suitability, adequacy and effectiveness, including the stated policies and objectives related to the fulfilment of this International Standard? |  |  |
| 8.5.1.2 | Are these reviews conducted at least once a year? Alternatively, is a complete review broken up in to segments completed within a 12 month time frame? Are records of reviews maintained? |  |  |
| **8.5.2** | **Review Inputs**Does the input to the management review include information related to:1. results of internal and external audits;
2. feedback from clients and interested parties related to the fulfilment of this International Standard;
3. feedback from the mechanism for safeguarding impartiality;
4. the status of preventive and corrective actions;
5. follow-up actions from previous management reviews;
6. the fulfilment of objectives;
7. changes that could affect the management system; and
8. appeals and complaints?
 |  |  |
| **8.5.3** | **Review Outputs**Does the outputs from the management review include decisions and actions related to:1. improvement of the effectiveness of the management system and its processes;
2. improvement of the certification body related to the fulfilment of this International Standard; and resource needs?
 |  |  |
| **8.6** | **Internal Audits (Option A)** |  |  |
| 8.6.1 | Has the certification body established procedures for internal audits to verify that it fulfils the requirements of this International Standard and that the management system is effectively implemented and maintained? |  |  |
| 8.6.2 | Is an internal audit program planned, taking into consideration the importance of the processes and areas to be audited, as well as the results of previous audits? |  |  |
| 8.6.3 | Are internal audits performed at least once every 12 months or completed within a 12 month time frame for segmented (or rolling) internal audits? Is a documented decision-making process followed to change (reduce or restore) the frequency of internal audits or the time frame in which internal audits shall be completed?Are such changes based on the relative stability and ongoing effectiveness of the management system?Are records of decisions to change the frequency of internal audits or the time frame, in which they will be completed, including the rationale for the change, maintained? |  |  |
| 8.6.4 | Does the certification body ensure that:1. internal audits are conducted by personnel knowledgeable in certification, auditing and the requirements of this International Standard;
2. auditors do not audit their own work;
3. personnel responsible for the area audited are informed of the outcome of the audit;
4. any actions resulting from internal audits are taken in a timely and appropriate manner; and
5. any opportunities for improvement are identified?
 |  |  |
| **8.7** | **Corrective actions (Option A)** |  |  |
| 8.7.1 | Does the certification body establish procedures for identification and management of nonconformities in its operations?  |  |  |
| 8.7.2 | Does the certification body also, where necessary, take actions to eliminate the causes of nonconformities in order to prevent recurrence?  |  |  |
| 8.7.3 | Are corrective actions appropriate to the impact of the problems encountered?  |  |  |
| 8.7.4 | Do the procedures for corrective actions define requirements for:1. identifying nonconformities (e.g. from complaints and internal audits);
2. determining the causes of nonconformity;
3. correcting nonconformities;
4. evaluating the need for actions to ensure that nonconformities do not recur;
5. determining and implementing in a timely manner, the actions needed;
6. recording the results of actions taken; and
7. reviewing the effectiveness of corrective actions?
 |  |  |
| **8.8** | **Preventive actions (Option A)** |  |  |
| 8.8.1 | Does the certification body establish procedures for taking preventive actions to eliminate the causes of potential nonconformities?  |  |  |
| 8.8.2 | Are preventive actions taken appropriate to the probable impact of the potential problems?  |  |  |
| 8.8.3 | Do the procedures for preventive actions define requirements for:1. identifying potential nonconformities and their causes;
2. evaluating the need for action to prevent the occurrence of nonconformities;
3. determining and implementing the action needed;
4. recording the results of actions taken; and
5. reviewing the effectiveness of the preventive actions taken?
 |  |  |

|  |
| --- |
| **Additional Notes:**No. of certificates issued by CB:No. of 2nd certificate issued to the same certified client:Foreign Critical Location(s):Follow-up on last assessment: |

**Review of Client Files**

|  | **Comment** | **Comment** | **Comment** | **Comment** |
| --- | --- | --- | --- | --- |
| **Company’s name** |  |  |  |  |
| Type of Audit (including any extension/ reduction of scope/transfer case/special audit) |  |  |  |  |
| Certificate Details* Client Name & Address (include info. on other sites covered where applicable)
* Date of award & expiry
* Unique certificate reference no./ID
* Standard with issue no./rev. no
* Scope
* Name/address/certification mark
* Rev. no for revised cert
 |  |  |  |  |
| Application Form* Desired scope
* Name/address
* Significant aspects
* Legal obligations
* Activities/ resources including outsourced processes (if any)
* Info on Consultant’s name and organisation (if any)
 |  |  |  |  |
| Application Review* Scope accredited
* NACE classification
* Audit days
* IAF MD 5 Compliance
* Application – contract reviewer qualified? (who & date)
* Audit team assigned /qualified? (who & date)
* Decision taker assigned /qualified? (who & date)
* Audit plan created and communicated to client? (date)
 |  |  |  |  |
| Initial Audit* Date
* Same audit team assigned
* Evidence/records
* Review of NC
 |  |  |  |  |
| Granting Certification* Decision reviewer/taker /qualified? (who & date)
* Different from those who carried out the audits

Information Required* Audit reports
* NC reviewed with CA accepted
* Application review info
* Recommendation by audit team
 |  |  |  |  |
| Surveillance* Confirmed staff strength of client
* Audit days /justified?
* Audit team / qualified?
* Date
* For 1st surveillance, not more than 12 months from the last day of stage 2
* Audit programme
* Report reviewer / decision taker (qualified?)
 |  |  |  |  |
| Recertification* Confirmed staff strength of client
* Audit days / justified?
* Audit team / qualified?
* Date
* Not more than 3 years. For recertification, before expiry of certificate
* Audit programme
* Report reviewer / decision taker (qualified?)

Information based on* Audit results
* Review of previous surveillance audit reports within current 3-year certification cycle
* Complaints received from users of certification
 |  |  |  |  |

**Review of Client Files**

|  | **Comment** | **Comment** | **Comment** | **Comment** |
| --- | --- | --- | --- | --- |
| **Company’s name** |  |  |  |  |
| Type of Audit (including any extension/ reduction of scope/transfer case/special audit) |  |  |  |  |
| Certificate Details* Client Name & Address (include info. on other sites covered where applicable)
* Date of award & expiry
* Unique certificate reference no./ID
* Standard with issue no./rev. no
* Scope
* Name/address/certification mark
* Rev. no for revised cert
 |  |  |  |  |
| Application Form* Desired scope
* Name/address
* Significant aspects
* Legal obligations
* Activities/ resources including outsourced processes (if any)
* Info on Consultant’s name and organisation (if any)
 |  |  |  |  |
| Application Review* Scope accredited
* NACE classification
* Audit days
* IAF MD 5 Compliance
* Application – contract reviewer qualified? (who & date)
* Audit team assigned /qualified? (who & date)
* Decision taker assigned /qualified? (who & date)
* Audit plan created and communicated to client? (date)
 |  |  |  |  |
| Initial Audit* Date
* Same audit team assigned
* Evidence/records
* Review of NC
 |  |  |  |  |
| Granting Certification* Decision reviewer/taker /qualified? (who & date)
* Different from those who carried out the audits

Information Required* Audit reports
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* Date
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* Report reviewer / decision taker (qualified?)

Information based on* Audit results
* Review of previous surveillance audit reports within current 3-year certification cycle
* Complaints received from users of certification
 |  |  |  |  |