

## GUIDELINES FOR FILLING UP THE ASSESSMENT CHECKLIST

e.g. (ISO/IEC 17021-1:2015, Clause 5.1.2)

**Legend:** C – Complies, O – Observation, T – To Check On-site,  
N – Nonconformity, N/A – Not Applicable

Clause Requirement	
	<p><b>5.1.2 Certification agreement</b>  <i>Does the certification body have a legally enforceable agreement for the provision of certification service in accordance with the relevant requirements of this part of ISO/IEC 17021 to its client? Where there are multiple offices of a certification body or multiple sites of a client, does the certification body ensure that there is a legally enforceable agreement between the certification body granting certification and issuing a certificate, and all the sites covered by the scope of the certification?</i></p>
	<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p> <p><i>CB XYZ ensures that an enforceable Certification Agreement is both signed by the authorized representatives of CB XYZ and its client.</i></p> <p>References:  <i>CB XYZ <b>Quality Manual</b> Clause 5.1.2            CB XYZ QP 3 <b>Certification Procedure</b>, Item 3 (if this is discussed in that specific procedure)            Form ABC Rev. 1 <b>Certification Agreement</b> (where requirements stated in 5.1.2 are included)</i></p>
	<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>

1) Fill up all items on the spaces provided for the Certification Body (applicant body).

2) Discuss briefly the applicable policies and/or procedures as required by each clause/sub clause.

3) Indicate the specific part in your Quality Manual/Procedures/Work Instructions and/or applicable forms where your statements are referred from.

**Note 1: Submit all relevant documents indicated in your filled-up Assessment Checklist**

**Note 2: Application will not be processed if the Assessment Checklist is not properly/completely filled up.**

4) PAB to fill up any comments or findings raised based on the CB's response (**supported by the submitted references/evidences**), to the clause requirements.

**Conformity assessment – Requirement for bodies providing audit and certification of management systems – Part 1: Requirements**

**Legend:** C – Complies, O – Observation, T – To Check On-site, N – Nonconformity, N/A – Not Applicable

Clause Requirement
<p><b>5 General Requirements</b></p> <p><b>5.1 Legal and contractual matters</b></p> <p><b>5.1.1 Legal responsibility</b></p> <p><i>Is the certification body a legal entity, or a defined part of a legal entity, such that it can be held legally responsible for all its certification activities?</i></p> <p><i>*A governmental certification body is deemed to be a legal entity on the basis of its governmental status.</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>5.1.2 Certification agreement</b></p> <p><i>Does the certification body have a legally enforceable agreement for the provision of certification service in accordance with the relevant requirements of this part of ISO/IEC 17021 to its client? Where there are multiple offices of a certification body or multiple sites of a client, does the certification body ensure that there is a legally enforceable agreement between the certification body granting certification and issuing a certificate, and all the sites covered by the scope of the certification?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>5.1.3 Responsibility for certification decisions</b></p> <p><i>Is the certification body responsible for, and does it retain authority for, its decisions relating to certification, including the granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring following suspension, or withdrawing of certification?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>

Clause Requirement
<p><b>5.2 Management of impartiality</b></p> <p><b>5.2.1</b> <i>Does the certification body undertake conformity assessment activities impartially? Does the certification body allow commercial, financial or other pressures to compromise impartiality? Is the certification body responsible for the impartiality of its conformity assessment activities?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>5.2.2</b> <i>Does the certification body have top management commitment to impartiality in management system certification activities? Does the certification body have a policy that it understands the importance of impartiality in carrying out its management system certification activities, manages conflict of interest and ensures the objectivity of its management system certification activities?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>5.2.3</b> <i>Does the certification body have a process to identify, analyze, evaluate, treat, monitor and document the risks related to conflict of interests arising from provision of certification including any conflicts arising from its relationship on an ongoing basis? Where there are any threats to impartiality, does the certification body document and demonstrate how to eliminate or minimize such threats and document any residual risk? Does the demonstration cover all potential threats that are identified, whether they arise from within the certification body or from the activities of other persons, bodies or organizations? Does the top management review any residual risk to determine if it is within the level of acceptable risk? Does the risk assessment process include identification of and consultation with appropriate interested parties advising on matters affecting impartiality including openness and public perception?</i></p> <ul style="list-style-type: none"> <li>• <i>Sources of threats to impartiality of the certification body can be based on ownership, governance, management, personnel, shared resources, finances, contracts, training, marketing and payment of a sales commission or other inducement for the referral of new clients, etc.</i></li> <li>• <i>Interested parties can include personnel and clients of the certification body, customers of organizations whose management systems are certified, representatives of industry trade associations, representatives of governmental regulatory bodies or other governmental services or representatives of non-governmental organizations, including consumer organizations.</i></li> <li>• <i>One way of fulfilling the consultation requirement of this clause is by the use of a committee of these interested parties.</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>

Clause Requirement
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>5.2.4</b> Does the certification body certify another certification body for its management system certification activities?
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>5.2.5</b> Does the certification body or any part of the same legal entity under the organizational control of the certification body offer or provide management system consultancy? This also applies to that part of government identified as the certification body. <ul style="list-style-type: none"> <li>This does not preclude the possibility of exchange of information (e.g. explanation of findings or clarification of requirements) between the certification body and its clients.</li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>5.2.6</b> Does the certification body or any part of the same legal entity and any entity under the organizational control of the certification body offer or provide internal audits to its certified clients? The carrying out of internal audits by the certification body and any part of the same legal entity to its certified clients is a significant threat to impartiality. <ul style="list-style-type: none"> <li>See Note 1 to Clause 5.2.3.</li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>5.2.7</b> Does the certification body certify the management system for a minimum of two years following the end of the consultancy? When a client has received management systems consultancy from a body that has a relationship with a certification body, this is a significant threat to impartiality. <ul style="list-style-type: none"> <li>See Note to 5.2.3.</li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>

<b>Clause Requirement</b>
<p><b>5.2.8</b> <i>Does the certification body outsource audits to a management system consultancy organization, as this poses an unacceptable threat to the impartiality of the certification body (see Clause 7.5)?</i>  <i>This does not apply to individuals contracted as auditors covered in Clause 7.3.</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>5.2.9</b> <i>Are the certification body's activities marketed or offered as linked with the activities of an organization that provides management system consultancy?</i>  <i>Does the certification body take action to correct inappropriate links or statements by any consultancy organization stating or implying that certification would be simpler, easier, faster or less expensive if the certification body were used?</i>  <i>Does the certification body not state or imply that certification would be simpler, easier, faster or less expensive if a specified consultancy organization were used?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>5.2.10</b> <i>Does the certification body ensure that personnel who have provided management system consultancy, including those acting in a managerial capacity, do not take part in an audit or other certification activities if they have been involved in management system consultancy towards the client in question within two years following the end of the consultancy?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>5.2.11</b> <i>Does the certification body take action to respond to any threats to its impartiality arising from the actions of other persons, bodies or organizations?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>5.2.12</b> <i>Do all certification body personnel, either internal or external, or committees, who could influence the certification activities, act impartially and not allow commercial, financial or other pressures to compromise impartiality?</i></p>

Clause Requirement
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>5.2.13</b> <i>Does the certification body require personnel, both internal and external, to reveal any situation known to them that may present them or the certification body with a conflict of interests? Does the certification body record and use this information as input to identifying threats to impartiality raised by the activities of such personnel or by the organizations that employ them?</i></p> <p><i>Does the certification body use personnel, either internal or external, unless they can demonstrate that there is no conflict of interests?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>5.3 Liability and financing</b></p> <p><b>5.3.1</b> <i>Can the certification body demonstrate that it has evaluated the risks arising from its certification activities and that it has adequate arrangements (e.g. insurance or reserves) to cover liabilities arising from its operations in each of its fields of activities and the geographic areas in which it operates?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>5.3.2</b> <i>Does the certification body evaluate its finances and sources of income and demonstrate to the committee specified in 6.2 that initially, and on an ongoing basis, commercial, financial or other pressures do not compromise its impartiality?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>

Clause Requirement
<p><b>6 Structural requirements</b></p> <p><b>6.1 Organizational structure and top management</b></p> <p><b>6.1.1</b> <i>Has the certification body documented its organizational structure, showing duties, responsibilities and authorities of management and other certification personnel and any committees?</i></p> <p><i>When the certification body is a defined part of a legal entity, does the structure include the line of authority and the relationship to other parts within the same legal entity?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>6.1.2</b> <i>Are the certification activities structured and managed to safeguard impartiality?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>6.1.3</b> <i>Has the certification body identified the top management (board, group of persons, or person) having overall authority and responsibility for each of the following:</i></p> <ul style="list-style-type: none"> <li><i>a) development of policies and establishment of processes and procedures relating to its operations;</i></li> <li><i>b) supervision of the implementation of the policies and procedures;</i></li> <li><i>c) ensuring impartiality;</i></li> <li><i>d) supervision of its finances;</i></li> <li><i>e) development of management system certification services and schemes;</i></li> <li><i>f) performance of audits and certification, and responsiveness to complaints;</i></li> <li><i>g) decisions on certification; delegation of authority to committees or individuals, as required, to undertake defined activities on its behalf;</i></li> <li><i>h) contractual arrangements;</i></li> <li><i>i) provision of adequate resources for certification activities?</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>6.1.4</b> <i>Does the certification body have formal rules for the appointment, terms of reference and operation of any committees involved in the certification activities?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>

<b>Clause Requirement</b>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>6.2 Operational Control</b></p> <p><b>6.2.1</b> <i>Does the certification body have a process for the effective control of certification activities delivered by branch offices, partnerships, agents, franchisees, etc. irrespective of their legal status, relationship or geographical location? Have the certification body considered the risk that these activities pose to the competence, consistency and impartiality of the certification body?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>6.2.2</b> <i>Has the certification body considered the appropriate level and method of control of activities undertaken including its processes, technical areas of certification bodies' operations, competence of personnel, lines of management control, reporting and remote access to operations including records?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>7 Resource requirements</b></p> <p><b>7.1 Competence of personnel</b></p> <p><b>7.1.1 General considerations</b></p> <p><i>Does the certification body have processes to ensure that personnel have appropriate knowledge and skills relevant to the certification standard and geographic areas in which it operates?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>7.1.2 Determination of competence criteria</b></p> <p><i>Does the certification body have a documented process for determining the competence criteria for personnel involved in the management and performance of audits and certification activities? Are competence criteria determined with regard to the requirements of the certification standard for each technical area, and for each function in the certification process? The output of the process shall be the documented criteria of required knowledge and skills necessary to effectively perform audit and certification tasks to be fulfilled to achieve the intended</i></p>



<b>Clause Requirement</b>
<p><i>results. Annex A specifies the knowledge and skills that a certification body shall define for specific functions.</i></p> <ul style="list-style-type: none"> <li><i>The term “technical areas” is applied differently on the management system standard being considered. For any management system, the term is related to products, processes and services in the context of the scope of the management system standard. The technical area can be defined by a specific certification scheme (e.g. ISO/TS 22003) or can be determined by the certification body. It is used to cover a number of other terms such as “scopes”, “categories”, “sectors”, etc., which are traditionally used in different management system disciplines.</i></li> </ul>
Describe briefly the CB’s established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>7.1.3 Evaluation processes</b></p> <p><i>7.1.3 Does the certification body have documented processes for the initial competence evaluation, and on-going monitoring of competence and performance of all personnel involved in the management and performance of audits and other certification activities, applying the determined competence criteria?</i></p> <p><i>Does the certification body able to demonstrate that its evaluation methods are effective? The output from these processes shall be to identify personnel who have demonstrated the level of competence required for the different functions of the audit and certification process?</i></p> <ul style="list-style-type: none"> <li><i>A number of evaluation methods that can be used to evaluate knowledge and skills are described in Annex B of IS/IEC 17021-1.</i></li> <li><i>Annex C of ISO/IEC 17021-1:2015 shows an example of process flow for determining and maintaining competence.</i></li> </ul>
Describe briefly the CB’s established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>7.1.4 Other considerations</b></p> <p><i>Does the certification body have access to the necessary technical expertise for advice on matters directly relating to certification activities for all technical areas, types of management systems and geographic areas in which the certification body operates?</i></p> <p><i>Such advice may be provided externally or by certification body personnel.</i></p>
Describe briefly the CB’s established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>7.2 Personnel involved in the certification activities</b></p> <p><i>7.2.1 Does the certification body have sufficient, competent personnel for managing and supporting the type and range of audit programmes and other certification work performed?</i></p>

Clause Requirement
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>7.2.2</b> <i>Does the certification body employ, or have access to, a sufficient number of auditors, including audit team leaders, and technical experts to cover all of its activities and to handle the volume of audit work performed?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>7.2.3</b> <i>Does the certification body make clear to each person concerned their duties, responsibilities and authorities?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>7.2.4</b> <i>Does the certification body have processes for selecting, training, formally authorizing auditors and for selecting and familiarizing technical experts used in the certification activity? Does the initial competence evaluation of an auditor include ability to apply required knowledge and skills during audits, as determined by a competent evaluator observing the auditor conducting an audit?</i>
<ul style="list-style-type: none"> <li>• <i>During the selection and training process described above, desired personal behaviours can be considered. These are characteristics that affect an individual's ability to perform specific functions. Therefore, knowledge about the behaviours of individuals enables a certification body to take advantage of their strengths and to minimize the impact of their weaknesses.</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>7.2.5</b> <i>Does the certification body have a process to achieve and demonstrate effective auditing, including the use of auditors and audit team leaders possessing generic auditing skills and knowledge, as well as skills and knowledge appropriate for auditing in specific technical areas?</i>

<b>Clause Requirement</b>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>7.2.6</b> <i>Does the certification body ensure that auditors (and, where needed, technical experts) are knowledgeable of its audit processes, certification requirements and other relevant requirements? Does the certification body give auditors and technical expert's access to an up-to-date set of documented procedures giving audit instructions and all relevant information on the certification activities?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>7.2.7</b> <i>Does the certification body identify training needs and offer or provide access to specific training to ensure its auditors, technical experts and other personnel involved in certification activities are competent for the functions they perform?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>7.2.8</b> <i>Does the group or individual that takes the decision on granting, refusing, maintaining, renewing, suspending, restoring or withdrawing certification, or on expanding or reducing the scope of certification, understand the applicable standard and certification requirements, and have demonstrated competence to evaluate the outcomes of the audit processes including related recommendations of the audit team?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>7.2.9</b> <i>Does the certification body ensure the satisfactory performance of all personnel involved in the audit and certification activities? Are there documented process for monitoring competence and performance of all persons involved, based on the frequency of their usage and the level of risk linked to their activities? Does the certification body review and record the competence of its personnel in the light of their performance in order to identify training needs?</i>

<b>Clause Requirement</b>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>7.2.10</b> <i>Does the certification body monitor each auditor considering each type of management system to which the auditor is deemed competent?</i>  <i>Do the documented monitoring procedures for auditors include combination of on-site observation, review of audit reports and feedback from clients or from the market?</i>  <i>Is the monitoring designed in such a way as to minimize disturbance to the normal processes of certification, especially from the client's viewpoint?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>7.2.11</b> <i>Does the certification body periodically evaluate the performance of each auditor on-site?</i>  <i>Is the frequency of on-site evaluations based on the need determined from all monitoring information available?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>7.3 Use of individual external auditors and external technical experts</b>  <i>Does the certification body require external auditors and external technical experts to have a written agreement by which they commit themselves to comply with applicable policies and implemented processes as defined by the certification body?</i>  <i>Do the agreement address aspects relating to confidentiality and impartiality and require the external auditors and external technical experts to notify the certification body of any existing or prior relationship with any organization they may be assigned to audit?</i></p> <ul style="list-style-type: none"> <li>• <i>Use of an individual or employee of another organization individually contracted to serve as an external auditor or technical expert does not constitute outsourcing.</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>7.4 Personnel records</b>

<b>Clause Requirement</b>
<p><i>Does the certification body maintain up-to-date personnel records, including relevant qualifications, training, experience, affiliations, professional status and competence? Does the record include management and administrative personnel in addition to those performing certification activities?</i></p>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>7.5 Outsourcing</b></p>
<p><b>7.5.1</b> <i>Does the certification body have a process in which it describes the conditions under which outsourcing (which is subcontracting to another organization to provide part of the certification activities on behalf of the certification body) may take place? Does the certification body have a legally enforceable agreement covering the arrangements, including confidentiality and conflict of interests, with each body that provides outsourced services?</i></p>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>7.5.2</b> <i>Are decisions for granting, refusing maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification are not outsourced?</i></p>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>7.5.3</b> <i>Does the certification body:</i></p> <ul style="list-style-type: none"> <li><i>a) take responsibility for all activities outsourced to another body,</i></li> <li><i>b) ensure that the body that provides outsourced services, and the individuals that it uses, conform to requirements of the certification body and also to the applicable provisions of ISO/IEC 17021-1, including competence, impartiality and confidentiality, and</i></li> <li><i>c) Ensure that the body that provides outsourced services, and the individuals that it uses, are not involved, either directly or through any other employer, with an organization to be audited, in such a way that impartiality could be compromised?</i></li> </ul>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>

<b>Clause Requirement</b>
<p><b>7.5.4</b> Does the certification body have a process for the approval and monitoring of all bodies that provide outsourced services used for certification activities? Does the certification body ensure that records of the competence of all personnel involved in certification activities are maintained?</p> <ul style="list-style-type: none"> <li>• For Clauses 7.5.1 to 7.5.4, where the certification body engages individuals or employees of other organizations to provide additional resources or expertise, these individuals do not constitute outsourcing provided they are individually contracted to operate under the certification body's management system (see Clause 7.3)</li> <li>• *For Clauses 7.5.1 to 7.5.4, the terms "outsourcing" and "subcontracting" are considered to be synonyms.</li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>8 Information requirements</b>  <b>8.1 Publicly accessible information</b>  <b>8.1.1</b> Does the certification body maintain (through publications, electronic media or other means), and make public, without request, in all the geographical areas in which it operates, information about:</p> <ol style="list-style-type: none"> <li>a) Audit processes;</li> <li>b) Processes for granting, refusing, maintaining, renewing, suspending, restoring or withdrawing certification or expanding or reducing the scope of certification;</li> <li>c) Types of management systems and certification schemes in which it operates;</li> <li>d) The use of the certification body's name and certification mark or logo;</li> <li>e) Processes for handling requests for information, complaints and appeals;</li> <li>f) Policy on impartiality?</li> </ol>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>8.1.2</b> Does the certification body provide upon request about:</p> <ol style="list-style-type: none"> <li>a) geographical areas in which it operates;</li> <li>b) the status of a given certification; and</li> <li>c) the name, related normative document, scope and geographical location (city and country) for a specific certified client?</li> </ol> <ul style="list-style-type: none"> <li>• In exceptional cases, access to certain information can be limited on the request of the client (e.g. for security reasons).</li> <li>• The certification body can also make the information in 8.1.2 public by any means it chooses without request, e.g. on its internet website.</li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>

<b>Clause Requirement</b>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>8.1.3</b> <i>Does the certification body ensure that information provided to any client or to the marketplace, including advertising, is accurate and not misleading?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>8.2 Certification documents</b>
<b>8.2.1</b> <i>How does the certification body provide certification documents to the certified client?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>8.2.2</b> <i>Does the certification document(s) identify the following:</i>
<ul style="list-style-type: none"> <li>a) <i>the name and geographic location of each client whose management system is certified (or the geographic location of the headquarters and any sites within the scope of a multi-site certification);</i></li> <li>b) <i>the effective date of granting, expanding or reducing the scope of certification or renewing certification which shall not be before the date of the relevant certification decision;</i></li> <li>• <i>The certification body can keep the original certification date on the certificate when a certificate lapses for a period of time provided that:</i> <ul style="list-style-type: none"> <li>- <i>the current certification cycle start and expiry date are clearly indicated;</i></li> <li>- <i>the last certification cycle expiry date be indicated along with the date of recertification audit</i></li> </ul> </li> <li>c) <i>the expiry date or recertification due date consistent with the recertification cycle;</i></li> <li>d) <i>a unique identification code;</i></li> <li>e) <i>the management system standard and/or other normative document, including indication of issue status (e.g. revision date or number) used for audit of the certified client;</i></li> <li>f) <i>the scope of certification with respect to types of activities, products and services as applicable at each site without being misleading or ambiguous;</i></li> <li>g) <i>the name, address and certification mark of the certification body; other marks (e.g. accreditation symbol, client's logo) may be used provided they are not misleading or ambiguous;</i></li> <li>h) <i>any other information required by the standard and/or other normative document used for certification;</i></li> <li>i) <i>in the event of issuing any revised certification documents, a means to distinguish the revised documents from any prior obsolete documents?</i></li> <li>• <i>ISO/IEC 17030 provides requirements for use of third-party marks.</i></li> </ul>

Clause Requirement
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>8.3 Reference to certification and use of marks</b></p> <p><b>8.3.1</b> <i>Does the certification body have rules governing any management system's third-party mark that it authorizes certified clients to use?</i>  <i>Do these rules ensure, among other things, traceability back to the certification body?</i>  <i>Is there any ambiguity, in the mark or accompanying text, as to what has been certified and which certification body has granted the certification?</i>  <i>Is the mark used on a product or product packaging seen by the consumer or in any other way that may be interpreted as denoting product conformity?</i></p> <ul style="list-style-type: none"> <li>• <i>ISO/IEC 17030 provides additional information for use of third-party marks.</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>8.3.2</b> <i>How does the certification body ensure that its marks are not applied to laboratory test, calibration or inspection reports or certificates? Such reports are deemed to be products in this context.</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>8.3.3</b> <i>Does the certification body have rules governing the use of any statement on product packaging or in accompanying information that the certified client has a certified management system?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>8.3.4</b> <i>Does the certification body through legally enforceable arrangements require that the certified client:</i></p> <ol style="list-style-type: none"> <li><i>a) conforms to the requirements of the certification body when making reference to its certification status in communication media such as the internet, brochures or advertising, or other documents;</i></li> <li><i>b) does not make or permit any misleading statement regarding its certification;</i></li> </ol>



<b>Clause Requirement</b>
<p>c) <i>does not use or permit the use of a certification document or any part thereof in a misleading manner;</i></p> <p>d) <i>upon withdrawal of its certification, discontinues its use of all advertising matter that contains a reference to certification, as directed by the certification body (see 9.6.5);</i></p> <p>e) <i>amends all advertising matter when the scope of certification has been reduced,</i></p> <p>f) <i>does not allow reference to its management system certification to be used in such a way as to imply that the certification body certifies a product (including service) or process;</i></p> <p>g) <i>does not imply that the certification applies to activities and sites that are outside the scope of certification; and</i></p> <p>h) <i>does not use its certification in such a manner that would bring the certification body and/or certification system into disrepute and lose public trust?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>8.3.5</b> <i>Does the certification body exercise proper control of ownership and take action to deal with incorrect references to certification status or misleading use of certification documents, marks or audit reports?</i></p> <p><i>*Such action could include requests for correction and corrective action, suspension, withdrawal of certification, publication of the transgression and, if necessary, legal action.</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>8.4 Confidentiality</b></p> <p><b>8.4.1</b> <i>Does the certification body, through legally enforceable agreements, have the responsibility for the management of all information obtained or created during the performance of certification activities at all levels of its structure, including committees and external bodies or individuals acting on its behalf?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>8.4.2</b> <i>Does the certification body inform the client, in advance, of the information it intends to place in the public domain?</i></p> <p><i>Is all other information, except for information that is made publicly accessible by the client, considered confidential?</i></p>

<b>Clause Requirement</b>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>8.4.3</b> <i>Except as required in ISO/IEC 17021, is information about a particular certified client or individual not disclosed to a third party without the written consent of the certified client or individual concerned?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>8.4.4</b> <i>When the certification body is required by law or authorized by contractual arrangements (such as with the accreditation body) to release confidential information, are the client or individual concerned, unless prohibited by law, notified of the information provided?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>8.4.5</b> <i>Is information about the client from sources other than the client (e.g. complainant, regulators) treated as confidential, consistent with the certification body's policy?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>8.4.6</b> <i>Do personnel, including any committee members, contractors, personnel of external bodies or individuals acting on the certification body's behalf, keep all information obtained or created during the performance of the certification body's activities, except as required by law, confidential?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>8.4.7</b> <i>Does the certification body have processes and where applicable equipment and facilities that ensure the secure handling of confidential information?</i>

Clause Requirement
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>8.5 Information exchange between a certification body and its clients</b></p> <p><b>8.5.1 Information on the certification activity and requirements</b></p> <p><i>Does the certification body provide and update clients on the following:</i></p> <p>a) <i>detailed description of the initial and continuing certification activity, including the application, initial audits, surveillance audits, and the process for granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending, or restoring, or withdrawing of certification;</i></p> <p>b) <i>the normative requirements for certification;</i></p> <p>c) <i>information about the fees for application, initial certification and continuing certification;</i></p> <p>d) <i>the certification body's requirements for clients to:</i></p> <ol style="list-style-type: none"> <li>1. <i>comply with certification requirements,</i></li> <li>2. <i>make all necessary arrangements for the conduct of the audits, including provision for examining documentation and the access to all processes and areas, records and personnel for the purposes of initial certification, surveillance, recertification and resolution of complaints, and</i></li> <li>3. <i>make provisions, where applicable, to accommodate the presence of observers (e.g. accreditation assessors or trainee auditors);</i></li> </ol> <p>e) <i>documents describing the rights and duties of certified clients, including requirements, when making reference to its certification in communication of any kind in line with the requirements in 8.3; and</i></p> <p>f) <i>information on procedures for handling complaints and appeals?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>8.5.2 Notice of changes by a certification body</b></p> <p><i>Does the certification body give its certified clients due notice of any changes to its requirements for certification?</i></p> <p><i>Does the certification body verify that each certified client complies with the new requirements?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>8.5.3 Notice of changes by a certified client</b></p> <p><i>Does the certification body have legally enforceable arrangements to ensure that the certified client informs the certification body, without delay, of matters that may affect the capability of</i></p>

<b>Clause Requirement</b>
<p><i>the management system to continue to fulfil the requirements of the standard used for certification?</i></p> <p><i>Do these include, for example, changes relating to:</i></p> <ul style="list-style-type: none"> <li><i>a) the legal, commercial, organizational status or ownership;</i></li> <li><i>b) organization and management (e.g. key managerial, decision-making or technical staff);</i></li> <li><i>c) contact address and sites;</i></li> <li><i>d) scope of operations under the certified management system; and</i></li> <li><i>e) major changes to the management system and processes?</i> <p><i>Does the certification body take action as appropriate?</i></p> </li></ul>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>9 Process requirements</b></p> <p><b>9.1 Pre-certification activities</b></p> <p><b>9.1.1 Application</b></p> <p><i>Does your certification body require an authorized representative of the applicant organisation to provide the necessary information to enable it to establish the following:</i></p> <ul style="list-style-type: none"> <li><i>a) the desired scope of the certification;</i></li> <li><i>b) relevant details of the applicant organisation as required by the specific certification scheme, including its name and the address(es) of its site(s), its processes and operations, human and technical resources, functions, relationships and any relevant legal obligation;</i></li> <li><i>c) identification of outsourced processes used by the organisation that will affect conformity to requirements;</i></li> <li><i>d) the standards or other requirements for which the applicant organisation is seeking certification; and</i></li> <li><i>e) whether consultancy relating to the management system to be certified has been provided and, if so, by whom?</i> </li></ul>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>

<b>Clause Requirement</b>
<p><b>9.1.2 Application Review</b></p> <p><b>9.1.2.1</b> Does your certification body conduct a review of the application and supplementary information for certification to ensure that:</p> <ul style="list-style-type: none"> <li>a) the information about the applicant organisation and its management system is sufficient to develop an audit programme (see Clause 9.1.3)</li> <li>b) any known difference in understanding between the certification body and the application organisation is resolved;</li> <li>c) the certification body has the competence and ability to perform the certification activity; and</li> <li>d) the scope of certification sought, the site(s) of the applicant organisation's operations, time required to complete audits and any other points influencing the certification activity are taken into account (language, safety conditions, threats to impartiality, etc.)?</li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.1.2.2</b> Following the review of the application, the certification body shall either accept or decline an application for certification. When the certification body declines an application for certification as a result of the review of application, are the reasons for declining an application documented and made clear to the client?</p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.1.2.3</b> Based on this review, does the certification body determine the competences it needs to include in its audit team and for the certification decision?</p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.1.3 Audit programme</b></p> <p><b>9.1.3.1</b> Is an audit programme for the full certification cycle developed to clearly identify the audit activity/activities required to demonstrate that the client's management system fulfils the requirements for certification to the selected standard(s) or other normative document(s)? Does the audit programme for the certification cycle cover the complete management system requirements?</p>

<b>Clause Requirement</b>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.1.3.2</b> <i>Does the audit programme for the initial certification include a two-stage initial audit, surveillance audits in the first and second years following the certification decision, and a recertification audit in the third year prior to expiration of certification?</i></p> <p><i>Does the first three-year certification cycle begin with the certification decision?</i></p> <p><i>Do subsequent cycles begin with the recertification decision (See Clause 9.6.3.2.3)?</i></p> <p><i>Does the determination of the audit programme and any subsequent adjustments consider the size of the client, the scope and complexity of its management system, products and processes as well as demonstrated level of management system effectiveness and the results of any previous audits?</i></p> <ul style="list-style-type: none"> <li>• <i>Annex E of ISO/IEC 17021-1 is a flowchart of a typical audit and certification process.</i></li> <li>• <i>The following list contains additional items that can be considered when developing or revising an audit programme, they might also need to be addressed when determining the audit scope and developing the audit plan:</i> <ul style="list-style-type: none"> <li>- <i>Complaints received by the certification body about the client;</i></li> <li>- <i>Combined integrated or joint audit;</i></li> <li>- <i>Changes to certification requirements;</i></li> <li>- <i>Changes to legal requirements;</i></li> <li>- <i>Changes to accreditation requirements;</i></li> <li>- <i>Organisational performance data (e.g. defect levels, key performance indicators data)</i></li> </ul> </li> <li>• <i>If specified by the industry specific certification scheme, the certification cycle can be different from three years.</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.1.3.3</b> <i>Are surveillance audits conducted at least once a calendar year, except in recertification years?</i></p> <p><i>Is the date of the first surveillance audit following initial certification not more than 12 months from the certification decision date?</i></p> <ul style="list-style-type: none"> <li>• <i>It can be necessary to adjust the frequency of surveillance audits to accommodate factors such as seasons or management systems certification of a limited duration (e.g. temporary construction site)</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>

Clause Requirement
<p><b>9.1.3.4</b> <i>Where the certification body is taking account of certification already granted to the client and to audits performed by another certification body, does the certification body obtain and retain sufficient evidence, such as reports and documentation on corrective actions, to any nonconformity?</i></p> <p><i>Does the documentation support the fulfilling of the requirements in this part of ISO/IEC 17021? Does the certification body, based on the information obtained, justify and record any adjustments to the existing audit programme and follow up the implementation of corrective actions concerning previous nonconformities?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.1.3.5</b> <i>Where the client operates shifts, are the activities that take place during shift working considered when developing the audit programme and audit plans?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.1.4 Determining audit time</b></p> <p><b>9.1.4.1</b> <i>Does the certification body have documented procedures for determining audit time? Does the certification body determine the time needed to plan and accomplish a complete and effective audit of the client's QMS/EMS?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.1.4.2</b> <i>In determining the audit time, does the certification body consider, among other things, the following aspects:</i></p> <p><i>a) the requirement of the relevant QMS/EMS standards;</i></p> <p><i>b) complexity of the client and its management system;</i></p> <p><i>c) technological and regulatory context;</i></p> <p><i>d) Any outsourcing of any activities included in the scope of the QMS/EMS;</i></p> <p><i>e) results of any prior audits;</i></p> <p><i>f) size and number of sites, their geographical locations and multi-site considerations;</i></p> <p><i>g) the risks associated with the products, processes or activities of the organisation;</i></p> <p><i>h) when audits are combined, joint or integrated?</i></p> <ul style="list-style-type: none"> <li>• <i>Time spent travelling to and from audited sites is not included in the calculation of the duration of the management system audit days.</i></li> <li>• <i>The certification body can use the guidance established in ISO/IEC TS 17023 for determining the duration of management system audit when documenting these procedures.</i></li> </ul>

<b>Clause Requirement</b>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.1.4.3</b> <i>Are the duration of the management system audit and its justification recorded?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.1.4.4</b> <i>Does the time spent by any team member that is not assigned as an auditor (i.e. technical experts, translators, interpreters, observers and auditors-in-training) not count in the above established duration of the management system audit?</i>
<ul style="list-style-type: none"> <li><i>The use of translators can necessitate additional audit time.</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.1.5 Multi-site sampling</b>
<p><i>Where multi-site sampling is used for the audit of a client's management system covering the same activity in various geographical locations, does the certification body develop a sampling programme to ensure proper audit of the management system?</i></p> <p><i>Is rationale for the sampling plan documented for each client? Sampling is not allowed for some specific certification schemes, and where specific criteria have been established for a specific certification scheme, e.g. ISO/TS 22003, these shall be applied.</i></p> <ul style="list-style-type: none"> <li><i>Where there are multiple sites not covering the same activity sampling is not appropriate.</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.1.6 Multiple management systems standards</b>
<p><i>When certification to multiple management system standards is being provided by the certification body, does the planning for the audit ensure adequate on-site auditing to provide confidence in the certification?</i></p>



<b>Clause Requirement</b>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.2 Planning Audits</b> <b>9.2.1 Determining Audit objectives scope and criteria</b> <b>9.2.1.1</b> <i>Does the certification body determine the audit objectives? Does the certification body establish the audit scope and criteria, including any changes, after discussion with the client?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.2.1.2</b> <i>Do the audit objectives describe what is to be accomplished by the audit and include the following:</i> <i>a) determination of the conformity of the client's management system, or parts of it, with audit criteria;</i> <i>b) evaluation of the ability of the management system to ensure the client organization meets applicable statutory, regulatory and contractual requirements;</i> <ul style="list-style-type: none"> <li>• <i>A management system certification audit is not a legal compliance audit.</i></li> </ul> <i>c) determination of the effectiveness of the management system to ensure the client organization can reasonably expect to achieving its specified objectives; and</i> <i>d) as applicable, identification of areas for potential improvement of the management system?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.2.1.3</b> <i>Does the audit scope describe the extent and boundaries of the audit, such as physical locations, organizational units, activities and processes to be audited? Where the initial or re-certification process consists of more than one audit (e.g. covering different locations), does the scope of an individual audit not cover the full certification scope, but the totality of audits is consistent with the scope in the certification document?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>

<b>Clause Requirement</b>
<p><b>9.2.1.4</b> <i>Is the audit criteria used as a reference against which conformity is determined, and does it include:</i></p> <ul style="list-style-type: none"> <li>- <i>the requirements of a defined normative document on management systems;</i></li> <li>- <i>the defined processes and documentation of the management system developed by the client?</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.2.2 Audit team selection and assignments</b></p> <p><b>9.2.2.1.1 General</b></p> <p><i>Does the certification body have a process for selecting and appointing the audit team, including the audit team leader and technical experts as necessary, taking into account the competence needed to achieve the objectives of the audit and requirements for impartiality? If there is only one auditor, Does the auditor have the competence to perform the duties of an audit team leader applicable for that audit?</i></p> <p><i>Does the audit team have the totality of the competences identified by the certification body as set out in Clause 9.1.2.3 for the audit?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.2.2.1.2</b> <i>In deciding the size and composition of the audit team, is consideration given to the following:</i></p> <ul style="list-style-type: none"> <li>a) <i>audit objectives, scope, criteria and estimated audit time;</i></li> <li>b) <i>whether the audit is combined, joint or integrated;</i></li> <li>c) <i>the overall competence of the audit team needed to achieve the objective of the audit (See Table A.1 of ISO/IEC 17021-1)</i></li> <li>d) <i>certification requirements (including any applicable statutory, regulatory or contractual requirements);</i></li> <li>e) <i>language and culture?</i></li> </ul> <ul style="list-style-type: none"> <li>• <i>The team leader of a combined or integrated audit is expected to have in-depth knowledge of at least one of the standards and an awareness of the other standards used for that particular audit.</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>

<b>Clause Requirement</b>
<p><b>9.2.2.1.3</b> <i>Is the knowledge and skills of the audit team leader and auditors supplemented by technical experts, translators and interpreters, and operate under the direction of an auditor? Are translators or interpreters selected such that they do not unduly influence the audit?</i></p> <ul style="list-style-type: none"> <li>• <i>The criteria for the selection of technical experts are determined on a case-by-case basis by the needs of the audit team and the scope of the audit.</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.2.2.1.4</b> <i>Are auditors-in-training included in the audit team as participants, provided an auditor is appointed as an evaluator? Is the evaluator competent to take over the duties and have final responsibility for the activities and findings of the auditor-in-training?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.2.2.1.5</b> <i>Does the audit team leader, in consultation with the audit team, assign to each team member responsibility for auditing specific processes, functions, sites, areas or activities? Do these assignments take into account the need for competence, and the effective and efficient use of the audit team, as well as different roles and responsibilities of auditors, auditors-in-training and technical experts? Are changes to the work assignments made as the audit progresses to ensure achievement of the audit objectives?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.2.2.2 Observers, technical experts and guides</b></p> <p><b>9.2.2.2.1 Observers</b></p> <p><i>Is the presence and justification of observers during an audit activity agreed to by the certification body and client prior to the conduct of the audit? Does the audit team ensure that observers do not unduly influence or interfere in the audit process or outcome of the audit?</i></p> <ul style="list-style-type: none"> <li>• <i>Observers can be members of the client's organisation, consultants, witnessing accreditation body personnel, regulators or other justified persons.</i></li> </ul>

<b>Clause Requirement</b>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.2.2.2.2 Technical experts</b>  <i>Is the role of technical experts during an audit activity agreed to by the certification body and client prior to the conduct of the audit?</i>  <i>Does a technical expert not act as an auditor in the audit team?</i>  <i>Is the technical expert accompanied by an auditor?</i>  <i>*The technical experts can provide advice to the audit team for the preparation, planning or audit.</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.2.2.2.3 Guides</b>  <i>Is each auditor accompanied by a guide, unless otherwise agreed to by the audit team leader and the client?</i>  <i>Are guide(s) assigned to the audit team to facilitate the audit?</i>  <i>Does the audit team ensure that guides do not influence or interfere in the audit process or outcome of the audit?</i>  <i>*The responsibilities of a guide can include:</i>  <i>a) establishing contacts and timing for interviews;</i>  <i>b) arranging visits to specific parts of the site or organization;</i>  <i>c) ensuring that rules concerning site safety and security procedures are known and respected by the audit team members;</i>  <i>d) witnessing the audit on behalf of the client;</i>  <i>e) providing clarification or information as requested by an auditor.</i>  <i>**Where appropriate, the auditee can also act as the guide.</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.2.3 Audit plan</b>  <b>9.2.3.1 General</b>  <i>Does the certification body ensure that an audit plan is established prior to each audit identified in the audit programme to provide the basis for agreement regarding the conduct and scheduling of the audit activities?</i>  <i>*It is not expected that a certification body will develop an audit plan for each at the time that the audit programme is developed.</i></p>

<b>Clause Requirement</b>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.2.3.2 Preparing the audit plan</b>  <i>Is the audit plan appropriate to the objectives and the scope of the audit?            Does the audit plan include or refer to the following at least:</i></p> <ul style="list-style-type: none"> <li><i>a) the audit objectives;</i></li> <li><i>b) the audit criteria;</i></li> <li><i>c) the audit scope, including identification of the organizational and functional units or processes to be audited;</i></li> <li><i>d) the dates and sites where the on-site audit activities are to be conducted, including visits to temporary sites, as appropriate;</i></li> <li><i>e) the expected time and duration of on-site audit activities;</i></li> <li><i>f) the roles and responsibilities of the audit team members and accompanying persons?</i></li> </ul> <p><i>*The audit plan information can be contained in more than one document.</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.2.3.3 Communication of audit team tasks</b>  <i>Are the tasks given to the audit team defined?            Does the certification body require the audit team to:</i></p> <ul style="list-style-type: none"> <li><i>a) Examine and verify the structure, policies, processes, procedures, records and related documents of the client relevant to the management system standard;</i></li> <li><i>b) Determine that these meet all the requirements relevant to the intended scope of certification;</i></li> <li><i>c) Determine that the processes and procedures are established, implemented and maintained effectively, to provide a basis for confidence in the client's QMS/EMS management system; and</i></li> <li><i>d) Communicate to the client, for its action, any inconsistencies between the client's policy, objectives and targets?</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.2.3.4 Communication of audit plan</b>  <i>Is the audit plan communicated and the dates of the audit agreed upon, in advance, with the client organization?</i></p>

<b>Clause Requirement</b>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.2.3.5 Communication concerning audit team members</b>  <i>Does the certification body provide the name of and, when requested, make available background information on each member of the audit team, with sufficient time for the client organisation to object to the appointment of any particular auditor or technical expert and for the certification body to reconstitute the team in response to any valid objection?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.3 Initial certification</b>  <b>9.3.1 Initial certification audit</b>  <b>9.3.1.1 General</b>  <i>Is the initial certification audit of a management system conducted in two stages: stage 1 and stage 2?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.3.1.2 Stage 1</b>  <b>9.3.1.2.1</b> <i>Does planning ensure that the objectives of stage 1 can be met and the client be informed of any "on site" activities during stage 1?</i>  <ul style="list-style-type: none"> <li>• <i>Stage 1 does not require a formal audit plan (see clause 9.2.3)</i></li> </ul> </p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.3.1.2.2</b> <i>Are the objectives of stage 1 to:</i>  <i>a) Review the client's management system documented information;</i>  <i>b) Evaluate the client's site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for stage 2;</i>  <i>c) Review the client's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;</i></p>

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<p>d) Obtain necessary information regarding the scope of the management system, including:</p> <ul style="list-style-type: none"> <li>— the client's site(s);</li> <li>— processes and equipment used;</li> <li>— levels of controls established (particularly in case of multisite clients);</li> <li>— applicable statutory and regulatory requirements;</li> </ul> <p>e) Review the allocation of resources for stage 2 and agree the details of stage 2 with the client;</p> <p>f) Provide a focus for planning stage 2 by gaining a sufficient understanding of the client's management system and site operations in the context of the management system standard or other normative document; and</p> <p>g) Evaluate if the internal audits and management reviews are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for stage 2?</p> <ul style="list-style-type: none"> <li>• If at least part of stage 1 is carried out at the client's premises, this can help to achieve the objectives stated above.</li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.3.1.2.3</b> Are documented conclusions with regard to fulfilment of the stage 1 objectives and the readiness for stage 2 communicated to the client, including identification of any areas of concern that could be classified as nonconformity during stage 2?</p> <ul style="list-style-type: none"> <li>• The stage 1 output does not need to meet the full requirements of a report (see clause 9.4.8)</li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.3.1.3 Stage 2</b></p> <p>The purpose of stage 2 is to evaluate the implementation, including effectiveness, of the client's management system. Does the stage 2 take place at the site(s) of the client? Does it include the auditing of at least the following:</p> <p>a) Information and evidence about conformity to all requirements of the applicable management system standard or other normative documents;</p> <p>b) Performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document);</p> <p>c) The client's management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements;</p> <p>d) Operational control of the client's processes;</p> <p>e) Internal auditing and management review; and</p> <p>f) Management responsibility for the client's policies?</p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>

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Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.3.1.4 Initial certification audit conclusions</b>  <i>Does the audit team analyze all information and audit evidence gathered during stage 1 and stage 2 to review the audit findings and agree on audit conclusions?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.4 Conducting audits</b>  <b>9.4.1 General</b>  <i>Does the certification body have a process for conducting on-site audits?</i>  <i>Does this process include an opening meeting at the start of the audit and a closing meeting at the conclusion of the audit?</i>  <i>Where any part of the audit is made by electronic means or where the site to be audited is virtual, does the certification body ensure that such activities are conducted by personnel with appropriate competence?</i>  <i>Is the evidence obtained during such an audit sufficient to enable the auditor to take an informed decision on the conformity of the requirement in question?</i></p> <ul style="list-style-type: none"> <li>• "On-site" audits can include remote access to electronic site(s) that contain(s) information that is relevant to the audit of the management system. Consideration can also be given to the use of electronic means for conducting audits.</li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.4.2 Conducting the opening meeting</b>  <i>Is a formal opening meeting held with the client's management and, where appropriate, those responsible for the functions or processes to be audited?</i>  <i>Is the purpose of the opening meeting, which is usually conducted by the audit team leader, to provide a short explanation of how the audit activities will be undertaken?</i>  <i>Is the degree of details consistent with the familiarity of the client with the audit process?</i>  <i>Does the opening meeting include the following:</i></p> <ol style="list-style-type: none"> <li>a) Introduction of the participants, including an outline of their roles;</li> <li>b) Confirmation of the scope of certification;</li> <li>c) Confirmation of the audit plan (including type and scope of audit, objectives and criteria), any changes, and other relevant arrangements with the client, such as the date and time for the closing meeting, interim meeting between the audit team and the client's management;</li> <li>d) Confirmation of formal communication channels between the audit team and the client;</li> <li>e) Confirmation that the resources and facilities needed by the audit team available;</li> </ol>



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<p>f) Confirmation of matters relating to confidentiality;</p> <p>g) Confirmation of relevant work safety, emergency and security procedures for the audit team;</p> <p>h) Confirmation of the availability, roles and identities of any guides and observers;</p> <p>i) The method of reporting, including any grading of audit findings;</p> <p>j) Information about the conditions under which the audit may be prematurely terminated;</p> <p>k) Confirmation that the audit team leader and audit team representing the certification body is responsible for the audit and be in control of executing the audit plan including audit activities and audit trails;</p> <p>l) Confirmation of the status of findings of the previous review or audit, if applicable;</p> <p>m) Methods and procedures to be used to conduct the audit based on sampling;</p> <p>n) Confirmation of the language to be used during the audit;</p> <p>o) Confirmation that, during the audit, the client will be kept informed of audit progress and any concerns; and</p> <p>p) Opportunity for the client to ask questions?</p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.4.3 Communication during the audit</b></p> <p><b>9.4.3.1</b> <i>During the audit, Does the audit team periodically assess audit progress and exchange information?</i></p> <p><i>Does the audit team leader re assign work as needed between the audit team members and periodically communicate the progress of the audit and any concerns to the client?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.4.3.2</b> <i>Where the available audit evidence indicates that the audit objectives are unattainable or suggests the presence of an immediate and significant risk (e.g. safety), Does the audit team leader report this to the client, if possible, to the certification body to determine appropriate action?</i></p> <p><i>Does such action include reconfirmation or modification of the audit plan, changes to the audit objectives or audit scope, or termination of the audit?</i></p> <p><i>Does the audit team leader report the outcome of the action taken to the certification body?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>

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<b>9.4.3.3</b> <i>Does the audit team leader review with the client any need for changes to the audit scope which becomes apparent as on-site auditing activities progress and report this to the certification body?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.4.4 Obtaining and verifying information</b>
<b>9.4.4.1</b> <i>During the audit, Does the auditor of the certification body collect information relevant to the audit objectives, scope and criteria (including information relating to interfaces between functions, activities and processes) by appropriate sampling and verified to become audit evidence?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.4.4.2</b> <i>Does the auditor of the certification body use methods to collect information include, but not limited to:</i> a) <i>Interviews;</i> b) <i>Observation of processes and activities;</i> c) <i>Review of documentation and records?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.4.5 Identifying and recording audit findings</b>
<b>9.4.5.1</b> <i>Are the audit findings summarizing conformity and detailing non-conformity identified, classified and recorded to enable an informed certification decision to be made or the certification to be maintained?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.4.5.2</b> <i>Are Opportunities for improvement identified and recorded, unless prohibited by the requirements of a management system certification scheme?</i>

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<i>Does the auditor of the certification body not record nonconformities as opportunities improvement?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.4.5.3</b> <i>Are nonconformities recorded against a specific requirement of the audit criteria, and do they contain a clear statement of the nonconformity and identify in detail the objective evidence on which the nonconformity is based? Are nonconformities discussed with the client to ensure that the evidence is accurate and that the nonconformities are understood? Does the auditor refrain from suggesting the cause of nonconformities or their solution?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.4.5.4</b> <i>Does the audit team leader attempt to resolve any diverging opinions between the audit team and the client concerning audit evidence or findings? Are unresolved points recorded?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.4.6 Preparing audit conclusions</b> <i>Under the responsibility of the audit team leader and prior to the closing meeting, does the audit team:</i>
<ul style="list-style-type: none"> <li><i>a) review the audit findings, and any other appropriate information collected during the audit, against the audit objective and audit criteria and classify nonconformities;</i></li> <li><i>b) agree upon the audit conclusions, taking into account the uncertainty inherent in the audit process; c. identify any necessary follow-up actions;</i></li> <li><i>c) confirm the appropriateness of the audit programme or identify any modification required (e.g. scope of certification, audit time or dates, surveillance frequency, audit team competence)?</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>

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<p><b>9.4.7 Conducting the closing meeting</b></p> <p><b>9.4.7.1</b> <i>Does the audit team of the certification body hold a formal closing meeting with the client's management and, where appropriate, those responsible for the functions or processes audited?</i></p> <p>Is attendance of the closing meeting recorded?  <i>Is the purpose of the closing meeting, normally conducted by the audit team leader, to present the audit conclusions, including the recommendation regarding certification?</i>  <i>Are all nonconformities presented in such a manner that they are understood, and the timeframe for responding agreed?</i></p> <ul style="list-style-type: none"> <li>• <i>“Understood” does not necessarily mean that the nonconformities have been accepted by the client.</i></li> </ul>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>9.4.7.2</b> <i>Does the closing meeting also include the following elements where the degree of detail consistent with the familiarity of the client with the audit process:</i></p> <ol style="list-style-type: none"> <li><i>a) advising the client that the audit evidence collected was based on a sample of the information; thereby introducing an element of uncertainty;</i></li> <li><i>b) the method and timeframe of reporting, including any grading of audit findings;</i></li> <li><i>c) the certification body's process for handling nonconformities including any consequences relating to the status of the client's certification;</i></li> <li><i>d) the timeframe for the client to present a plan for correction and corrective action for any nonconformities identified during the audit;</i></li> <li><i>e) the certification body's post audit activities;</i></li> <li><i>f) information about the complaint handling and appeal processes.</i></li> </ol>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>9.4.7.3</b> <i>Does the audit team of the certification body give the client opportunity for questions? Are diverging opinions regarding the audit findings or conclusions between the audit team and the client discussed and resolved where possible? Are diverging opinions that are not resolved recorded and referred to the certification body?</i></p>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>9.4.8 Audit report</b></p>

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<p><b>9.4.8.1</b> <i>Does the certification body provide to the client a written report for each audit? Does the audit team identify opportunities for improvement without recommending specific solutions? Is the ownership of the audit report maintained by the certification body?</i></p>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>9.4.8.2</b> <i>Does the audit team leader ensure that the audit report is prepared and is responsible for its content? Does the audit report provide an accurate, concise and clear record of the audit to enable an informed certification decision to be made and include or refer to the following:</i></p> <ul style="list-style-type: none"> <li><i>a) identification of the certification body;</i></li> <li><i>b) the name and address of the client and the client's representative;</i></li> <li><i>c) the type of audit (e.g. initial, surveillance or recertification audit or special audits);</i></li> <li><i>d) the audit criteria;</i></li> <li><i>e) the audit objectives;</i></li> <li><i>f) the audit scope, particularly identification of the organizational or functional units or processes audited and the time of the audit;</i></li> <li><i>g) any deviation from the audit plan and their reason;</i></li> <li><i>h) any significant issues impacting on the audit programme;</i></li> <li><i>i) identification of the audit team leader, audit team members and any accompanying persons;</i></li> <li><i>j) the dates and places where the audit activities (on site or offsite, permanent or temporary sites) were conducted;</i></li> <li><i>k) audit findings (see 9.4.5), reference to evidence and conclusions, consistent with the requirements of the type of audit;</i></li> <li><i>l) Significant changes, if any, that affect the management system of the client since last audit took place;</i></li> <li><i>m) any unresolved issues, if identified.</i></li> <li><i>n) where applicable, whether the audit is combined, joint or integrated;</i></li> <li><i>o) a disclaimer statement indicating that auditing is based on a sampling process of the available information;</i></li> <li><i>p) recommendation from the audit team</i></li> <li><i>q) the audited client is effectively controlling the use of the certification documents and marks, if applicable; and</i></li> <li><i>r) verification of effectiveness of taken corrective actions regarding previously identified nonconformities, if applicable?</i></li> </ul>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>9.4.8.3</b> <i>Does the report contain:</i></p>

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<p>a) <i>a statement on the conformity and the effectiveness of the management system together with a summary of the evidence relating to:</i></p> <ul style="list-style-type: none"> <li>— <i>the capability of the management system to meet applicable requirements and expected outcomes;</i></li> <li>— <i>the internal audit and management review process;</i></li> </ul> <p>b) <i>a conclusion on the appropriateness of the certification scope; and</i></p> <p>c) <i>confirmation that the audit objectives have been fulfilled?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.4.9 Cause analysis of nonconformities</b></p> <p><i>Does the certification body require the client to analyse the cause and describe the specific correction and corrective actions taken, or planned to be taken, to eliminate detected nonconformities, within a defined time?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.4.10 Effectiveness of corrections and corrective actions</b></p> <p><i>Does the certification body review the corrections, identified causes and corrective actions submitted by the client to determine if these are acceptable?</i></p> <p><i>Does the certification body verify the effectiveness of any correction and corrective actions taken?</i></p> <p><i>Is the evidence obtained to support the resolution of nonconformities recorded?</i></p> <p><i>Is the client informed of the result of the review and verification?</i></p> <p><i>Is the client informed if an additional full audit, an additional limited audit, or documented evidence (to be confirmed during future surveillance audits) will be needed to verify effective correction and corrective actions?</i></p> <ul style="list-style-type: none"> <li>• <i>Verification of effectiveness of correction and corrective action can be carried out based on a review of documentation provided by the client, or where necessary, through verification on-site.</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.5 Certification decision</b></p> <p><b>9.5.1 General</b></p> <p><b>9.5.1.1</b> <i>Does the certification body ensure that the persons or committees that make the decisions for granting certification, expanding or reducing the scope of certification, suspending</i></p>

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<p><i>or restoring certification, withdrawing certification or renewing certification are different from those who carried out the audits?</i>  <i>Does the individual(s) appointed to conduct the certification decision have appropriate competence?</i></p>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>9.5.1.2</b> <i>Is the person(s) [excluding members of committees (see clause 6.1.4)] assigned by the certification body to make a certification decision employed by, or under legally enforceable arrangement with either the certification body or an entity under the organizational control of the certification body?</i>  <i>Does the certification body's organizational control has one of the following:</i>            a) <i>Whole or majority ownership of another entity by the certification body;</i>            b) <i>Majority participation by the certification body on the board of directors of another entity;</i>                <i>and</i>            c) <i>A 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 director control?</i>            • <i>For governmental certification bodies, other parts of the same government can be considered to be "linked by ownership" to the certification body</i></p>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>9.5.1.3</b> <i>Does the persons employed by, or under contract with, entities under organizational control fulfill the same requirements of this part of ISO/IEC 17021 as persons employed by, or under contract with, the certification body?</i></p>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>9.5.1.4</b> <i>Does the certification body record each certification decision including any additional information or clarification sought from the audit team or other source?</i></p>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>

Clause Requirement
<p><b>9.5.2 Actions prior to making a decision</b>  <i>Does the certification body have a process to conduct an effective review prior to making a decision for granting certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification, including that:</i></p> <ul style="list-style-type: none"> <li><i>a) the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification;</i></li> <li><i>b) it has reviewed, accepted and verified the effectiveness of correction and corrective actions, for any major nonconformities: and</i></li> <li><i>c) It has reviewed and accepted the client's plan for correction and corrective action for any minor nonconformities?</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.5.3 Information for granting initial certification</b>  <b>9.5.3.1</b> <i>Does the information provided by the audit team to the certification body for the certification decision include, as a minimum,</i></p> <ul style="list-style-type: none"> <li><i>a) the audit report;</i></li> <li><i>b) comments on the nonconformities and, where applicable, the correction and corrective actions taken by the client;</i></li> <li><i>c) confirmation of the information provided to the certification body used in the application review (see 9.1.2);</i></li> <li><i>d) Confirmation that the audit objectives have been achieved; and</i></li> <li><i>e) a recommendation whether or not to grant certification, together with any conditions or observations?</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.5.3.2</b> <i>If the certification body is not able to verify the implementation of corrections and corrective actions of any major nonconformity within 6 months after the last day of stage 2, does the certification body conduct another stage2 prior to recommending certification?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>



Clause Requirement
<p><b>9.5.3.3</b> <i>When a transfer of certification is envisaged from one certification body to another, does the accepting certification body have a process for obtaining sufficient information in order to take a decision on certification?</i></p> <ul style="list-style-type: none"> <li>• <i>Certification schemes can have specific rules regarding the transfer of certification</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.5.4 Information for granting recertification</b> <i>Does the certification body make decisions on renewing certification based on the results of the recertification audit, as well as the results of the review of the system over the period of certification and complaints received from users of certification?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.6 Maintaining certification</b> <b>9.6.1 General</b> <i>Does the certification body maintain certification based on demonstration that the client continues to satisfy the requirements of the management system standard?</i> <i>Does the certification body maintain a client's certification based on a positive conclusion by the audit team leader without further independent review, provided that:</i></p> <ol style="list-style-type: none"> <li><i>a) for any major nonconformity or other situation that may lead to suspension or withdrawal of certification, the certification body has a system that requires the audit team leader to report to the certification body the need to initiate a review by appropriately competent personnel (see 7.2.8), different from those who carried out the audit, to determine whether certification can be maintained, and</i></li> <li><i>b) competent personnel of the certification body monitor its surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity is operating effectively?</i></li> </ol>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.6.2 Surveillance activities</b> <b>9.6.2.1 General</b> <b>9.6.2.1.1</b> <i>Does the certification body develop its surveillance activities so that representative areas and functions covered by the scope of the management system are monitored on a regular basis, and take into account changes to its certified client and its management system?</i></p>

<b>Clause Requirement</b>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.6.2.1.2</b> <i>Do surveillance activities include on-site audits assessing the certified client's management system's fulfilment of specified requirements with respect to the standard to which the certification is granted?</i></p> <p><i>Do other surveillance activities include:</i></p> <ul style="list-style-type: none"> <li><i>a) enquiries from the certification body to the certified client on aspects of certification,</i></li> <li><i>b) reviewing any client's statements with respect to its operations (e.g. promotional material, website),</i></li> <li><i>c) requests to the client to provide documents and records (on paper or electronic media), and</i></li> <li><i>d) other means of monitoring the certified client's performance.</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.6.2.2 Surveillance audit</b></p> <p><i>Are surveillance audits on-site audits which are planned together with the other surveillance activities so that the certification body can maintain confidence that the certified management system continues to fulfil requirements between recertification audits?</i></p> <p><i>Does the surveillance audit for the relevant management system include:</i></p> <ul style="list-style-type: none"> <li><i>a) internal audits and management review;</i></li> <li><i>b) a review of actions taken on nonconformities identified during the previous audit;</i></li> <li><i>c) complaints handling;</i></li> <li><i>d) effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system(s);</i></li> <li><i>e) progress of planned activities aimed at continual improvement,</i></li> <li><i>f) continuing operational control;</i></li> <li><i>g) review of any changes; and</i></li> <li><i>h) use of marks and/or any other reference to certification?</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.6.3 Recertification</b></p> <p><b>9.6.3.1 Recertification audit planning</b></p> <p><b>9.6.3.1.1</b> <i>Is the purpose of the recertification audit to confirm the continued conformity and effectiveness of the management system as a whole, and its continued relevance and applicability for the scope of certification?</i></p>

<b>Clause Requirement</b>
<p><i>Are recertification audits planned and conducted to evaluate the continued fulfilment of all of the requirements of the relevant management system standard or other normative document? Is this planned and conducted in due time to enable for timely renewal before the certificate expiry date?</i></p>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>9.6.3.1.2</b> <i>Does the recertification audit include the review of previous surveillance audit reports? Does the recertification audit consider the performance of the management system over the most recent certification cycle?</i></p>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>9.6.3.1.3</b> <i>Do recertification audit activities have a stage 1 audit in situations where there have been significant changes to the management system, the client, or the context in which the management system is operating (e.g. changes to legislation)?</i></p> <ul style="list-style-type: none"> <li>• <i>Such changes can occur at any time during the certification cycle and the certification body might need to perform a special audit (see clause 9.6.4), which might or might not be a two-stage audit.</i></li> </ul>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>9.6.3.2 Recertification audit</b></p> <p><b>9.6.3.2.1</b> <i>Does the recertification audit include an on-site audit that addresses the following:</i></p> <ol style="list-style-type: none"> <li><i>a) the effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification;</i></li> <li><i>b) demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance;</i></li> <li><i>c) The effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system(s)?</i></li> </ol>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>

<b>Clause Requirement</b>
<p><b>9.6.3.2.2</b> <i>Does the certification body define time limits for correction and corrective action for any major nonconformity? Are these actions implemented and verified prior to the expiration of certification?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.6.3.2.3</b> <i>When recertification activities are successfully completed prior to the expiry date of the existing certification, Is the expiry date of the new certification based on the expiry date of the existing certification? Is the issue date on a new certificate on or after the recertification decision?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.6.3.2.4</b> <i>If the certification body has not completed the recertification audit or the certification body is unable to verify the implementation of corrections and corrective actions for any major nonconformity (see Clause 9.5.2.1) prior to the expiry date of the certification, is recertification not recommended and the validity of the certification not extended? Is the client informed and the consequences explained?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.6.3.2.5</b> <i>Following expiration of certification, can the certification body restore certification within 6 months provided that the outstanding recertification activities are completed; otherwise is stage 2 at least conducted? Is the effective date on the certificate on or after the recertification decision and the expiry date based on prior certification cycle?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.6.4 Special audits</b> <b>9.6.4.1 Expanding scope</b></p>

<b>Clause Requirement</b>
<p><i>Does the certification body, in response to an application for expanding the scope of a certification already granted, undertake a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted? Are special audits conducted in conjunction with a surveillance audit?</i></p>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>9.6.4.2 Short-notice audits</b>  <i>Does the certification body conduct audits of certified clients at short notice or unannounced to investigate complaints, or in response to changes, or as follow up on suspended clients?            In the case of short-notice audits does the certification body:</i></p> <p>a) <i>describe and make known in advance to the certified clients (e.g. in documents as described in 8.5.1) the conditions under which these short notice visits are to be conducted, and</i></p> <p>b) <i>exercise additional care in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members?</i></p>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>9.6.5 Suspending, withdrawing or reducing the scope of certification</b>  <b>9.6.5.1</b> <i>Does the certification body have a policy and documented procedure(s) for suspension, withdrawal or reduction of the scope of certification, and subsequent actions by the certification body?</i></p>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>9.6.5.2</b> <i>Does the certification body suspend certification in cases when, for example,</i></p> <ul style="list-style-type: none"> <li>— <i>the client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system,</i></li> <li>— <i>the certified client does not allow surveillance or recertification audits to be conducted at the required frequencies, or</i></li> <li>— <i>the certified client has voluntarily requested a suspension?</i></li> </ul>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>

Clause Requirement
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.6.5.3</b> <i>Is the client's management system certification temporarily invalid under suspension?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.6.5.4</b> <i>Does the certification body restore the suspended certification if the issue that has resulted in the suspension has been resolved? Does failure to resolve the issues that have resulted in the suspension in a time established by the certification body result in withdrawal or reduction of the scope of certification?</i> <ul style="list-style-type: none"> <li>• <i>In most cases, the suspension would not exceed 6 months.</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.6.5.5</b> <i>Does the certification body reduce the client's scope of certification to exclude the parts not meeting the requirements, when the client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification? Is any such reduction in line with the requirements of the management system standard used for certification?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.7 Appeals</b>
<b>9.7.1</b> <i>Does the certification body have a documented process to receive, evaluate and make decisions on appeals?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>

<b>Clause Requirement</b>
<p><b>9.7.2</b> <i>Is the certification body responsible for all decisions at all levels of the appeals-handling process?</i>  <i>Does your certification body ensure that the persons engaged in the appeals-handling process are different from those who carried out the audits and made the certification decisions?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.7.3</b> <i>Does the certification body ensure submission, investigation and decision on appeals do not result in any discriminatory actions against the appellant?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.7.4</b> <i>Does the appeals-handling process include at least the following elements and methods:</i>  <i>a) an outline of the process for receiving, validating and investigating the appeal, and for deciding what actions are to be taken in response to it, taking into account the results of previous similar appeals;</i>  <i>b) tracking and recording appeals, including actions undertaken to resolve them;</i>  <i>c) ensuring that any appropriate correction and corrective action are taken?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.7.5</b> <i>Is the certification body receiving the appeal responsible for gathering and verifying all necessary information to validate the appeal?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.7.6</b> <i>Does the certification body acknowledge receipt of the appeal?</i>  <i>Does the certification body provide the appellant with progress reports and the result of the appeal?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>

Clause Requirement
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.7.7</b> <i>Is the decision to be communicated to the appellant made by, or reviewed and approved by, individual(s) not previously involved in the subject of the appeal?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.7.8</b> <i>Does the certification body give formal notice to the appellant of the end of the appeals-handling process?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.8 Complaints</b>
<b>9.8.1</b> <i>Is the certification body responsible for all decisions at all levels of the complaints-handling process?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.8.2</b> <i>Does submission, investigation and decision on complaints not result in any discriminatory actions against the complainant?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.8.3</b> <i>Upon receipt of a complaint, does the certification body confirm whether the complaint relates to certification activities that it is responsible for? If so, does the certification body deal with it? If the complaint relates to a certified client, does examination of the complaint consider the effectiveness of the certified management system?</i>



<b>Clause Requirement</b>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.8.4</b> <i>Is any valid complaint about a certified client referred by the certification body to the certified client in question at an appropriate time?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.8.5</b> <i>Does the certification body have a documented process to receive, evaluate and make decisions on complaints? Is this process subject to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.8.6</b> <i>Does the complaints-handling process include at least the following elements and methods:</i> <i>a) an outline of the process for receiving, validating, investigating the complaint, and for deciding what actions are to be taken in response to it;</i> <i>b) tracking and recording complaints, including actions undertaken in response to them;</i> <i>c) ensuring that any appropriate correction and corrective action are taken?</i> <ul style="list-style-type: none"> <li>• <i>ISO 10002 provides guidance for complaints handling.</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.8.7</b> <i>Is the certification body receiving the complaint responsible for gathering and verifying all necessary information to validate the complaint?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>

Clause Requirement
<b>9.8.8</b> <i>Whenever possible, does the certification body acknowledge receipt of the complaint? Does the certification body provide the complainant with progress reports and the outcome?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.8.9</b> <i>Is the decision to be communicated to the complainant made by, or reviewed and approved by, individual(s) not previously involved in the subject of the complaint?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.8.10</b> <i>Whenever possible, does the certification body give formal notice of the end of the complaints-handling process to the complainant?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.8.11</b> <i>Does the certification body determine, together with the client and the complainant, whether and, if so to what extent, the subject of the complaint and its resolution made public?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>9.9 Clients records</b>
<b>9.9.1</b> <i>Does the certification body maintain records on the audit and other certification activities for all clients, including all organizations that submitted applications, and all organizations audited, certified, or with certification suspended or withdrawn?</i>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>

Clause Requirement
<p><b>9.9.2</b> Do records on certified clients include the following:</p> <ul style="list-style-type: none"> <li>a) application information and initial, surveillance and recertification audit reports;</li> <li>b) certification agreement;</li> <li>c) justification of the methodology used for sampling of sites, as appropriate; <ul style="list-style-type: none"> <li>• Methodology of sampling includes the sampling employed to audit the specific management system and/or to select sites in the context of multi-site audit.</li> </ul> </li> <li>d) justification for auditor time determination (see Clause 9.1.4);</li> <li>e) verification of correction and corrective actions;</li> <li>f) records of complaints and appeals, and any subsequent correction or corrective actions;</li> <li>g) committee deliberations and decisions, if applicable;</li> <li>h) documentation of the certification decisions;</li> <li>i) certification documents, including the scope of certification with respect to product, process or service, as applicable;</li> <li>j) related records necessary to establish the credibility of the certification, such as evidence of the competence of auditors and technical experts; and</li> <li>k) audit programmes?</li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.9.3</b> Does the certification body keep the records on applicants and clients secure to ensure that the information is kept confidential? Are records transported, transmitted or transferred in a way that ensures that confidentiality is maintained?</p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>9.9.4</b> Does the certification body have a documented policy and documented procedures on the retention of records? Are records retained for the duration of the current cycle plus one full certification cycle?</p> <ul style="list-style-type: none"> <li>• In some jurisdictions, the law stipulates that records need to be maintained for a longer time period.</li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>

<b>Clause Requirement</b>
<p><b>10 Management system requirements for certification bodies</b></p> <p><b>10.1 Options</b></p> <p><i>Does the certification body maintain a management system that is capable of supporting and demonstrating the consistent achievement of the requirements of ISO/IEC 17021?</i></p> <p><i>In addition to meeting the requirements of clauses 5 to 9, Which of the following management system Option has the certification body implemented</i></p> <p>a) <i>general management system requirements (see Clause 10.2), or</i></p> <p>b) <i>management system requirements in accordance with ISO 9001 (see Clause 10.3)?</i></p>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>10.2 Option A: General Management system requirements</b></p> <p><b>10.2.1 General</b></p> <p><i>Does the certification body establish, document, implement and maintain a management system that is capable of supporting and demonstrating the consistent achievement of the requirements of ISO/IEC 17021-1?</i></p> <p><i>Does the certification body's top management establish and document policies and objectives for its activities?</i></p> <p><i>Does the top management provide evidence of its commitment to the development and implementation of the management system in accordance with the requirements of ISO/IEC 17021-1?</i></p> <p><i>Does the top management ensure that the policies are understood, implemented and maintained at all levels of the certification body's organisation?</i></p> <p><i>Does certification body's top management appoint a member of management who, irrespective of other responsibilities, have responsibility and authority that include</i></p> <p>a) <i>ensuring that processes and procedures needed for the management system are established, implemented and maintained, and</i></p> <p>b) <i>reporting to top management on the performance of the management system and any need for improvement?</i></p>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>10.2.2 Management system manual</b></p> <p><i>Have all applicable requirements of this International Standard been addressed either in a manual or in associated documents?</i></p> <p><i>Does the certification body ensure that the manual and relevant associated documents are accessible to all relevant personnel?</i></p>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>

Clause Requirement
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>10.2.3 Control of documents</b>  <i>Does the certification body establish procedures to control the documents (internal and external) that relate to the fulfilment of ISO/IEC 17021-1?            Do the procedures define the controls needed to:</i></p> <ol style="list-style-type: none"> <li><i>a) Approve documents for adequacy prior to issue;</i></li> <li><i>b) Review and update as necessary and re-approve documents;</i></li> <li><i>c) Ensure that changes and the current revision status of documents are identified;</i></li> <li><i>d) Ensure that relevant versions of applicable documents are available at points of use;</i></li> <li><i>e) Ensure that documents remain legible and readily identifiable;</i></li> <li><i>f) Ensure that documents of external origin are identified and their distribution controlled; and</i></li> <li><i>g) Prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose?</i></li> </ol> <ul style="list-style-type: none"> <li>• <i>Documentation can be in any form or type of medium.</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>10.2.4 Control of records</b>  <i>Does the certification body establish procedures to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of its records related to the fulfilment of ISO/IEC 17021-1?            Is access to these records consistent with the confidentiality arrangements?            Does the certification body establish procedures for retaining records for a period consistent with its contractual and legal obligations?</i></p> <ul style="list-style-type: none"> <li>• <i>For requirements for records on certified clients, see also Clause 9.9</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>10.2.5 Management review</b>  <b>10.2.5.1 General</b>  <i>Does the certification body's top management establish 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 ISO/IEC 17021-1?            Are these reviews conducted at least once a year?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>

Clause Requirement
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>10.2.5.2 Review inputs</b>  <i>Does the review input to the management review include information related to:</i></p> <ul style="list-style-type: none"> <li><i>a) Results of internal and external audits;</i></li> <li><i>b) Feedback from clients and interested parties;</i></li> <li><i>c) Safeguarding impartiality;</i></li> <li><i>d) The status of corrective actions;</i></li> <li><i>e) The status of actions to address risks;</i></li> <li><i>f) Follow-up actions from previous management reviews;</i></li> <li><i>g) The fulfilment of objectives,</i></li> <li><i>h) Changes that could affect the management system, and</i></li> <li><i>i) Appeals and complaints?</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>10.2.5.3 Review outputs</b>  <i>Does the outputs from the management review include decisions and actions related to</i></p> <ul style="list-style-type: none"> <li><i>a) Improvement of effectiveness of the management system and its processes;</i></li> <li><i>b) Improvement of the certification services related to the fulfilment of ISO/IEC 17021-1;</i></li> <li><i>c) Resource needs; and</i></li> <li><i>d) Revision of the organisation's policy and objectives?</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>10.2.6 Internal audits</b>  <b>10.2.6.1</b> <i>Has the certification body established procedures for internal audits to verify that it fulfils the requirements of ISO/IEC 17021-1, and that the management system is effectively implemented and maintained?</i></p> <ul style="list-style-type: none"> <li>• <i>ISO 19011 provides guidelines for conducting internal audits</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>10.2.6.2</b> <i>Is the audit programme planned, taking into consideration the importance of the processes and areas to be audited, as well as the results of previous audits?</i></p>

<b>Clause Requirement</b>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>10.2.6.3</b> <i>Are internal audits performed at least once every 12 months? Is the frequency of internal audits reduced if the certification body can demonstrate that its management system continues to be effectively implemented according to ISO/IEC 17021-1 and has proven stability?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>10.2.6.4</b> <i>Does the certification body ensure that</i></p> <ul style="list-style-type: none"> <li><i>a) internal audits are conducted by qualified personnel knowledgeable in certification, auditing and the requirements of ISO/IEC 17021-1;</i></li> <li><i>b) auditors do not audit their own work;</i></li> <li><i>c) personnel responsible for the area audited are informed of the outcome of the audit;</i></li> <li><i>d) any actions resulting from internal audits are taken in a timely and appropriate manner; and</i></li> <li><i>e) any opportunities for improvement are identified?</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>10.2.7 Corrective actions</b></p> <p><i>Does the certification body establish procedures for identification and management of nonconformities in its operations?]</i></p> <p><i>Does the certification body also, where necessary, take actions to eliminate the causes of nonconformities in order to prevent recurrence?</i></p> <p><i>Are corrective actions appropriate to the impact of the problems encountered?</i></p> <p><i>Do the procedures define requirements for</i></p> <ul style="list-style-type: none"> <li><i>a) identifying nonconformities (e.g. from complaints and internal audits);</i></li> <li><i>b) determining the causes of nonconformity;</i></li> <li><i>c) correcting nonconformities;</i></li> <li><i>d) evaluating the need for actions to ensure that nonconformities do not recur;</i></li> <li><i>e) determining and implementing in a timely manner, the actions needed,</i></li> <li><i>f) recording the results of actions taken; and</i></li> <li><i>g) reviewing the effectiveness of corrective actions?</i></li> </ul>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>

Clause Requirement
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>10.3 Option B: Management system requirements in accordance with ISO 9001</b></p> <p><b>10.3.1 General</b>  <i>Does the certification body establish and maintain a management system, in accordance with the requirements of ISO 9001, which is capable of supporting and demonstrating the consistent achievement of the requirements of ISO/IEC 17021-1, amplified by Clause 10.3.2 to 10.3.4?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>10.3.2 Scope</b>  <i>Does the scope of the management system include the design and development requirements for its certification service for application of the requirements of ISO 9001?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>10.3.3 Customer focus</b>  <i>For application of the requirements of ISO 9001, when developing its management system, Does the certification body consider the credibility of certification and address the needs of all parties (as set out in Clause 4.1.2) that reply upon its audit and certification services, not just its clients?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>10.3.4 Management review</b>  <i>For application of the requirements of ISO 9001, Does the certification body include as input for management review, information on relevant appeals and complaints from users of certification activities and a review of impartiality?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>



Clause Requirement

**Conformity assessment – Requirement for bodies providing audit and certification of management systems – Part 3: Competence requirements for auditing and certification of quality management systems**

**Legend:** C – Complies, O – Observation, T – To Check On-site, N – Nonconformity, N/A – Not Applicable

Clause Requirement
<p><b>4 Generic competence requirements</b>  <i>Does the certification body define the competence requirements for each certification function as reference in ISO/IEC 17021-1:2015, Table A.1?            When defining these competence requirements, does the certification body take into account all the requirements specified in ISO/IEC 17021-1 as well as those specified in Clauses 5 and 6 of this ISO/IEC TS 17021-3 that are relevant for the QMS technical areas (see ISO/IEC 17021-1:2015, 7.1.2), as defined by the CB?</i></p>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>5 Competence requirements for QMS auditors and audit teams</b>  <b>5.1 General</b>  <i>Does the certification body ensure that personnel involved in QMS auditing have the collective competence to undertake the audit?            Does the certification body ensure that personnel involved in QMS auditing have the generic competence described in ISO/IEC 17021-1 and the QMS knowledge described in 5.2 to 5.4?            Note: It is not necessary for each member of the audit team to have the same competence, however, the collective competence of the audit team needs to be sufficient to achieve the audit objectives.</i></p>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>5.2 Fundamental concepts and quality management principles</b>  <i>Does the certification body ensure that each personnel involved in QMS auditing have knowledge of:</i>            a) <i>fundamental concepts and quality management principles and their application;</i>            b) <i>terms and definitions related to quality management;</i></p>

<b>Clause Requirement</b>
<p>c) <i>the process approach including related monitoring and measurement;</i>  d) <i>the role of leadership in an organization and its impact on the QMS;</i>  e) <i>application of risk-based thinking including the determination of risks and opportunities;</i>  f) <i>application of the PDCA (plan, do, check, act) cycle;</i>  g) <i>structures and interrelationships of documented information specific to quality management;</i>  h) <i>quality management related tools, methods, techniques and their application?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>5.3 Context of the organization</b>  <i>Does the audit team have business sector knowledge to determine whether an organization has appropriately determined:</i></p> <p>a) <i>the external and internal issues, relevant to its purpose and its strategic direction and that affect its ability to achieve the intended result(s) of its QMS;</i>  b) <i>the needs and expectations of interested parties relevant to the organization's QMS including the requirements for the products and services of the organization;</i>  c) <i>the boundaries and applicability of the QMS to establish its scope?</i>  <i>Note: A business is understood to be the economic activities covering the broad range of related technical areas.</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<p><b>5.4 Client products, services, processes and organization</b>  <i>Does the certification body ensure that personnel involved in QMS auditing have knowledge of:</i></p> <p>a) <i>terminology and technology specific to the technical area;</i>  b) <i>statutory and regulatory requirements applicable to the product or service specific to the technical area;</i>  <i>Note: Statutory and regulatory requirements can be expressed as legal requirements.</i>  c) <i>characteristics of products, services and processes specific to the technical area;</i>  d) <i>the infrastructure and environment for operation of processes affecting product and service quality;</i>  e) <i>the provision of externally provided processes, products and services;</i>  f) <i>the impact of organization type, size, governance, structure, functions and relationships on development and implementation of the QMS, its documented information and certification activities?</i></p>
Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>

Clause Requirement
<p><b>6 Competence requirements for other personnel</b></p> <p><b>6.1 General</b></p> <p><i>Does the certification body ensure that the group or individual involved in other certification functions have the collective competence sufficient to undertake those functions and that includes the generic competencies described in ISO/IEC 17021-1 and the QMS knowledge described in 6.2?</i></p>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>
<p><b>6.2 Competence of personnel reviewing audit reports and making certification decisions</b></p> <p><i>Does the personnel reviewing audit reports and making certification decisions have knowledge of:</i></p> <p><i>a) fundamental concepts and quality management principles;</i></p> <p><i>b) terms and definitions related to quality management;</i></p> <p><i>c) the process approach;</i></p> <p><i>d) the application of risk-based thinking including the determination of risks and opportunities;</i></p> <p><i>e) scopes and their applicability to an organization's QMS?</i></p>
<p>Describe briefly the CB's established policies and procedures: <i>(To be filled-up by the CB)</i></p>
<p>Findings/Comments: <i>(To be filled-up by the AB)</i></p>