

**SELF ASSESSMENT ISO 17021:2011**



**Company Profile**

*Overview of company activities and potted history including key staff.*

Location of Company		Basic Data	
Company Name		Start Year	
Company Style & Registration ie Ltd LLP			
Street			
City		Contact Person	
Postal Code		Name	
Country		Position	
Phone		Language	
Fax		Phone	
E-mail			

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REQUIREMENT	COMPLIANCE			DOCUMENT REFERENCE	ASSESSOR COMMENTS
	Y	N	N/A		

<b>5 General requirements</b>					
<b>5.1 Legal and contractual matters</b>					
<b>5.1.1 Legal responsibility</b>					
<p>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?</p>					
<b>5.1.2 Certification agreement</b>					
<p>Does the certification body have a legally enforceable agreement for the provision of certification activities to its client?</p> <p>In addition, where there are multiple offices of a certification body or multiple sites of a certified 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?</p>					

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<p><b>5.1.3 Responsibility for certification decisions</b></p> <p>Is the certification body responsible for, and does it retain authority for, its decisions relating to certification, including the granting, maintaining, renewing, extending, reducing, suspending and withdrawing of certification.</p>					
<p><b>5.2 Management of impartiality</b></p>					
<p><b>5.2.1</b> Does the certification body have top management commitment to impartiality in management system certification activities?</p> <p>Does the certification body have a publicly available statement that it understands the importance of impartiality in carrying out its management system certification activities?</p> <p>Does the certification body manage conflict of interests and ensure the objectivity of its management system certification activities?</p>					
<p><b>5.2.2</b> Does the certification body identify, analyze and document the possibilities for conflict of interests arising from provision of certification including any conflicts arising</p>					

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<p>from its relationships?</p> <p>If a relationships has potential to present a certification body with a threat to impartiality, does the certification body document and demonstrate how it eliminates or minimizes such threats?</p> <p>Is this information made available to the committee specified in 6.2.</p> <p>Does this demonstration cover all potential sources of conflict of interests that are identified, whether they arise from within the certification body or from the activities of other persons, bodies or organizations?</p> <p>NOTE A relationship that threatens the impartiality of the certification body can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing and payment of a sales commission or other inducement for the referral of new clients etc.</p>					
<p><b>5.2.3</b> When a relationship poses an unacceptable threat to impartiality (such as a wholly owned subsidiary of the certification body requesting certification from its parent), then does the certification body ensure that the certification is not provided?</p>					

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NOTE: See Note to 5.2.2.					
<b>5.2.4</b> Does the certification body ensure that it does not certify another certification body for its management system certification activities?  NOTE See Note to 5.2.2.					
<b>5.2.5</b> Is it ensured that the certification body and any part of the same legal entity do not offer or provide management system consultancy?					
<b>5.2.6</b> Does the certification body and any part of the same legal entity offer or provide internal audits to its certified clients? (The certification body shall not certify a management system on which it provided internal audits within two years following the end of the internal audits.)  NOTE See Note to 5.2.2.					
<b>5.2.7</b> Has the certification body certified a management system on which a client has received management system consultancy or					

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<p>internal audits, where the relationship between the consultancy organization and the certification body poses an unacceptable threat to the impartiality of the certification body?</p> <p>NOTE 1: Allowing a minimum period of two years to elapse following the end of the management system consultancy is one way of reducing the threat to impartiality to an acceptable level.</p> <p>NOTE 2: See Note to 5.2.2.</p>					
<p><b>5.2.8</b> 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 7.5)?</p> <p>This does not apply to individuals contracted as auditors covered in 7.3.</p>					
<p><b>5.2.9</b> Is the certification body's activities marketed or offered as linked with the activities of an organization that provides management system consultancy?</p> <p>Has the certification body taken action to correct inappropriate claims by any consultancy organization stating or implying</p>					

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that certification would be simpler, easier, faster or less expensive if the certification body were used? A certification body shall not state or imply that certification would be simpler, easier, faster or less expensive if a specified consultancy organization were used.					
<b>5.2.10</b> Does the certification body allow personnel to 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 to ensure that there is no conflict of interests, personnel who have provided management system consultancy, including those acting in a managerial capacity?					
<b>5.2.11</b> Does the certification body take action to respond to any threats to its impartiality arising from the actions of other persons, bodies or organizations?					
<b>5.2.12</b> 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					

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impartiality?					
<p><b>5.2.13</b> Does the certification body require personnel, internal and external, to reveal any situation known to them that may present them or the certification body with a conflict of interests?</p> <p>Does the certification body use this information as input to identifying threats to impartiality raised by the activities of such personnel or by the organizations that employ them, and not use such personnel, internal or external, unless they can demonstrate that there is no conflict of interests.</p>					
<b>5.3 Liability and financing</b>					
<p><b>5.3.1</b> Is the certification body able to 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?</p>					

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<b>5.3.2</b> Has the certification body evaluated its finances and sources of income and demonstrated to the committee, specified in 6.2, that initially and on an ongoing basis, commercial, financial or other pressures do not compromise its impartiality.					
<b>6 Structural requirements</b>					
<b>6.1 Organizational structure and top management</b>					
<b>6.1.1</b> Has the certification body documented its organizational structure, showing duties, responsibilities and authorities of management and other certification personnel and any committees? If 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?					
<b>6.1.2</b> Has the certification body identified the top management (board, group of persons, or person) having overall authority and responsibility for each of the following:					

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a) Development of policies relating to the operation of the body; b) Supervision of the implementation of the policies and procedures; c) Supervision of the finances of the body; d) Development of management system certification services and schemes; e) Performance of audits and certification and responsiveness to complaints; f) Decisions on certification; g) Delegation of authority to committees or individuals, as required, to undertake defined activities on its behalf; h) Contractual arrangements; i) Provision of adequate resources for certification activities					
<b>6.1.3</b> Does the certification body have formal rules for the appointment, terms of reference and operation of any committees that are involved in the certification activities?					
<b>6.2 Committee for safeguarding</b>					

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<b>impartiality</b>					
<p><b>6.2.1</b> Does structure of the certification body safeguard the impartiality of the activities of the certification body and does it provide for a committee</p> <p>a) to assist in developing the policies relating to impartiality of its certification activities;</p> <p>b) to counteract any tendency on the part of a certification body to allow commercial or other considerations to prevent the consistent objective provision of certification activities;</p> <p>c) to advise on matters affecting confidence in certification, including openness and public perception;</p> <p>d) to conduct a review, as least once annually, of the impartiality of the audit, certification and decision-making processes of the certification body.</p> <p>Other tasks or duties may be assigned to the committee provided these additional tasks or duties do not compromise its essential role of ensuring impartiality.</p>					
<b>6.2.2</b> Has the certifying body formally					

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<p>documented the composition, terms of reference, duties, authorities, competence of members and responsibilities of this committee and been authorized by the top management of the certification body to ensure</p> <p>a) representation of a balance of interests such that no single interest predominates (internal or external personnel of the certification body are considered to be a single interest, and shall not predominate);</p> <p>b) access to all the information necessary to enable it to fulfill its functions (see also 5.2.2 and 5.3.2);</p> <p>c) that if the top management of the certification body does not respect the advice of this committee, the committee shall have the right to take independent action (e.g. informing authorities, accreditation bodies, stakeholders). In taking independent action, committees shall respect the confidentiality requirements of 8.5 relating to the client and certification body.</p>					
<p><b>6.2.3</b> In forming this committee, has the certifying body identified and invited key</p>					

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interests of the certifying body, which may include: 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.					
<b>7 Resource requirements</b>					
<b>7.1 Competence of management and personnel</b>					
7.1.1 Does the certification body have processes to ensure that personnel have appropriate knowledge relevant to the types of management systems and geographic areas in which it operates?  Has the certifying body determined the competence required for each technical area (as relevant for the specific certification scheme), and for each function in the certification activity?					

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Has the certifying body determined the means for the demonstration of competence prior to carrying out specific functions?					
<b>7.1.2</b> In determining the competence requirements for its personnel performing certification, has the certification body addressed the functions undertaken by management and administrative personnel in addition to those directly performing audit and certification activities?					
<b>7.1.3</b> Does the certification body have access to the necessary technical expertise for advice on matters directly relating to certification for technical areas, types of management system and geographic areas in which the certification body operates? Such advice may be provided externally or by certification body personnel.					
<b>7.2 Personnel involved in the certification activities</b>					
<b>7.2.1</b> Does the certification body have, as part of its own organization, personnel having sufficient competence for managing the type and range of audit programmes and other					

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certification work performed?					
<b>7.2.2</b> 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?					
<b>7.2.3</b> Does the certification body make clear to each person concerned their duties, responsibilities and authorities.					
<b>7.2.4</b> Does the certification body have defined processes for selecting, training, formally authorizing auditors and for selecting technical experts used in the certification activity?  Does the initial competence evaluation of an auditor include a demonstration of applicable personal attributes and the ability to apply required knowledge and skills during audits, as determined by a competent evaluator observing the auditor conducting an audit?					
<b>7.2.5</b> Does the certification body have a process to achieve and demonstrate effective					

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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?  Is this process defined in documented requirements drawn up in accordance with the relevant guidance provided in ISO 19011?					
<b>7.2.6</b> 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?					
<b>7.2.7</b> Does the certification body use auditors and technical experts only for those certification activities where they have demonstrated competence?  NOTE: Assignment of auditors and technical experts to teams for specific audits is addressed in					

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9.1.3.					
<b>7.2.8</b> 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?					
<b>7.2.9</b> Does the group or individual that takes the decision on granting, maintaining, renewing, extending, reducing, suspending or withdrawing certification understand the applicable standard and certification requirements and have demonstrated competence to evaluate the audit processes and related recommendations of the audit team?					
<b>7.2.10</b> Does the certification body ensure the satisfactory performance of all personnel involved in the audit and certification activities?  Are there documented procedures and criteria for monitoring and measurement of the performance of all persons involved, based on the frequency of their usage and the level of					

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risk linked to their activities?  Does the certification body review the competence of its personnel in the light of their performance in order to identify training needs?					
<b>7.2.11</b> Does the documented monitoring procedures for auditors include a combination of on-site observation, review of audit reports and feedback from clients or from the market?  Is it defined in documented requirements drawn up in accordance with the relevant guidance provided in ISO 19011?  Is this monitoring designed in such a way as to minimize disturbance to the normal processes of certification, especially from the client's viewpoint?					
<b>7.2.12</b> Does the certification body periodically observe the performance of each auditor on-site? Is the frequency of on-site observations based on need determined from all monitoring information available?					
<b>7.3 Use of individual external auditors and external technical experts</b>					

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<p>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 procedures as defined by the certification body?</p> <p>Does the agreement address aspects relating to confidentiality and to independence from commercial and other interests?</p> <p>Does the agreement require the external auditors and external technical experts to notify the certification body of any existing or prior association with any organization they may be assigned to audit?</p> <p>NOTE Use of individual auditors and technical experts under such agreements does not constitute outsourcing as described under 7.5.</p>					
<b>7.4 Personnel records</b>					
<p>Does the certification body maintain up-to-date personnel records, including relevant qualifications, training, experience, affiliations, professional status, competence and any relevant consultancy services that may have been provided?</p>					

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Does this include management and administrative personnel in addition to those performing certification activities?					
<b>7.5 Outsourcing</b>					
<p><b>7.5.1</b> 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.</p> <p>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?</p> <p>NOTE 1 This can include outsourcing to other certification bodies. Use of auditors and technical experts under contract is addressed in 7.3.</p> <p>NOTE 2 For the purposes of this International Standard, the terms “outsourcing” and “subcontracting” are considered to be synonyms.</p>					
<b>7.5.2</b> Has the certifying body ensured that decisions for granting, maintaining, renewing,					

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extending, reducing, suspending or withdrawing certification is never outsourced?					
<p><b>7.5.3</b> Does the certification body</p> <p>a) take responsibility for all activities outsourced to another body,</p> <p>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 this International Standard, including competence, impartiality and confidentiality;</p> <p>c) Ensure that the body that provides outsourced services and the individuals that it uses, is not involved, either directly or through any other employer, with an organization to be audited in such a way that impartiality could be compromised?</p>					
<p><b>7.5.4</b> Does the certification body have documented procedures for the qualification and monitoring of all bodies that provide outsourced services used for certification activities?</p> <p>Does the certifying body ensure that records</p>					

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of the competence of auditors and technical experts are maintained?					
<b>8 Information requirements</b>					
<b>8.1 Publicly accessible information</b>					
<b>8.1.1</b> Does the certification body maintain and make publicly accessible, or provide upon request, information describing its audit processes and certification processes for granting, maintaining, extending, renewing, reducing, suspending or withdrawing certification and about the certification activities, types of management systems and geographical areas in which it operates?					
<b>8.1.2</b> Does the certification body ensure that information provided by the certification body to any client or to the marketplace, including advertising, is accurate and not misleading?					
<b>8.1.3</b> Does the certification body make publicly accessible information about certifications granted, suspended or withdrawn?					

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<p><b>8.1.4</b> On request from any party, does the certification body provide the means to confirm the validity of a given certification?</p> <p>NOTE 1 If the total information is split between several sources (e.g. in printed or electronic form or a combination of both), a system ensuring traceability and absence of ambiguity between the sources can be implemented (e.g. unique numbering system, or hyperlinks on Internet).</p> <p>NOTE 2 In exceptional cases, access to certain information can be limited on the request of the client (e.g. for security reasons).</p>					
<b>8.2 Certification documents</b>					
<b>8.2.1</b> Does the certification body provide certification documents to the certified client? (by any means it chooses)					
<b>8.2.2</b> Is it ensured that the effective date on a certification document is not before the date of the certification decision?					
<p><b>8.2.3</b> Does the certification document(s) identify the following:</p> <p>a) the name and geographic location of each</p>					

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<p>client whose management system is certified (or the geographic location of the headquarters and any sites within the scope of a multi-site certification);</p> <p>b) the dates of granting, extending or renewing certification;</p> <p>c) the expiry date or recertification due date consistent with the recertification cycle;</p> <p>d) a unique identification code;</p> <p>e) the standard and/or other normative document, including issue number and/or revision, used for audit of the certified client;</p> <p>f) the scope of certification with respect to product (including service), process, etc., as applicable at each site;</p> <p>g) the name, address and certification mark of the certification body; [other marks (e.g. accreditation symbol) may be used provided they are not misleading or ambiguous;]</p> <p>h) any other information required by the standard and/or other normative document used for certification;</p> <p>l) in the event of issuing any revised certification documents, a means to</p>					

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**The noted references should specify procedure number, page number and section number, if possible, where each checklist item is addressed.**



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REQUIREMENT	COMPLIANCE			DOCUMENT REFERENCE	ASSESSOR COMMENTS
	Y	N	N/A		
distinguish the revised documents from any prior obsolete documents.					
<b>8.3 Directory of certified clients</b>					
<p>Does the certification body maintain and make publicly accessible, or provide upon request, by any means it chooses, a directory of valid certifications that as a minimum shall show the name, relevant normative document, scope and geographical location (e.g. city and country) for each certified client (or the geographic location of the headquarters and any sites within the scope of a multi-site certification)?</p> <p>NOTE The directory remains the sole property of the certification body.</p>					
<b>8.4 Reference to certification and use of marks</b>					
<p><b>8.4.1</b> Does the certification body have a policy governing any mark that it authorizes certified clients to use?</p> <p>Does this assure, among other things, traceability back to the certification body?</p>					

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	Y	N	N/A		
<p>Is there any ambiguity, in the mark or accompanying text, as to what has been certified and which certification body has granted the certification?</p> <p>Does the certification body ensure that this mark is not used on a product or product packaging seen by the consumer or in any other way that may be interpreted as denoting product conformity?</p> <p>NOTE ISO/IEC 17030 provides requirements for use of third-party marks.</p>					
<p><b>8.4.2</b> Does the certification body ensure that its marks are not applied to laboratory test, calibration or inspection reports? (As such reports are deemed to be products in this context.)</p>					
<p><b>8.4.3</b> Does the certification body require that the client organization</p> <p>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;</p> <p>b) does not make or permit any misleading</p>					

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	Y	N	N/A		
<p>statement regarding its certification;</p> <p>c) does not use or permit the use of a certification document or any part thereof in a misleading manner;</p> <p>d) upon suspension or withdrawal of its certification, discontinues its use of all advertising matter that contains a reference to certification, as directed by the certification body (see 9.6.3 and 9.6.6);</p> <p>e) amends all advertising matter when the scope of certification has been reduced;</p> <p>f) 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;</p> <p>g) does not imply that the certification applies to activities that are outside the scope of certification;</p> <p>h) 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.</p>					
<p><b>8.4.4</b> Does the certification body exercise proper control of ownership and shall take</p>					

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	Y	N	N/A		
action to deal with incorrect references to certification status or misleading use of certification documents, marks or audit reports.  NOTE Such action could include requests for correction and corrective action, suspension, withdrawal of certification, publication of the transgression and, if necessary, legal action.					
<b>8.5 Confidentiality</b>					
<b>8.5.1</b> Does the certification body, through legally enforceable agreements, have a policy and arrangements to safeguard the confidentiality of the 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?					
<b>8.5.2</b> Does the certification body inform the client, in advance, of the information it intends to place in the public domain? All other information, except for information that is made publicly available by the client, shall be considered confidential.					

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REQUIREMENT	COMPLIANCE			DOCUMENT REFERENCE	ASSESSOR COMMENTS
	Y	N	N/A		
<p><b>8.5.3</b> Does the certification body ensure that, except as required in this International Standard, information about a particular client or individual shall not be disclosed to a third party without the written consent of the client or individual concerned?</p> <p>Does the certification body ensure that, where the certification body is required by law to release confidential information to a third party, the client or individual concerned shall, unless regulated by law, be notified in advance of the information provided?</p>					
<p><b>8.5.4</b> Does the certification body treat as confidential, consistent with the certification body's policy, information about the client from sources other than the client (e.g. complainant, regulators)?</p>					
<p><b>8.5.5</b> Does the certification body ensure that, personnel, including any committee members, contractors, personnel of external bodies or individuals acting on the certification body's behalf, keep confidential all information obtained or created during the performance of the certification body's activities?</p>					

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REQUIREMENT	COMPLIANCE			DOCUMENT REFERENCE	ASSESSOR COMMENTS
	Y	N	N/A		
<b>8.5.6</b> Does the certification body have available and use equipment and facilities that ensure the secure handling of confidential information (e.g. documents, records)?					
<b>8.5.7</b> Does the certification body inform its client, when confidential information is made available to other bodies (e.g. accreditation body, agreement group of a peer assessment scheme)?					
<b>8.6 Information exchange between a certification body and its clients</b>					
<b>8.6.1 Information on the certification activity and requirements</b>  Does the certification body provide and update clients on the following:  a) a detailed description of the initial and continuing certification activity, including the application, initial audits, surveillance audits, and the process for granting, maintaining, reducing, extending, suspending, withdrawing certification and recertification;  b) the normative requirements for certification;					

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	Y	N	N/A		
<p>c) information about the fees for application, initial certification and continuing certification;</p> <p>d) the certification body's requirements for prospective clients</p> <ol style="list-style-type: none"> <li>1. to comply with certification requirements,</li> <li>2. to 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</li> <li>3. to make provisions, where applicable, to accommodate the presence of observers (e.g. accreditation auditors or trainee auditors);</li> </ol> <p>e) 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 8.4;</p> <p>f) Information on procedures for handling</p>					

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	Y	N	N/A		
complaints and appeals.					
<p><b>8.6.2 Notice of changes by a certification body</b></p> <p>Does the certification body give its certified clients due notice of any changes to its requirements for certification?</p> <p>Does the certification body verify that each certified client complies with the new requirements?</p> <p>NOTE Contractual arrangements with certified clients could be necessary to ensure implementation of these requirements. A model of a license agreement for the use of certification, including the aspects related to a notice of changes, as far as applicable, is found in Annex E of ISO/IEC Guide 28:2004.</p>					
<p><b>8.6.3 Notice of changes by a client</b></p> <p>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 the management system to continue to fulfill the requirements of the standard used for certification. These include,</p>					

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	Y	N	N/A		
for example, changes relating to: a) the legal, commercial, organizational status or ownership; b) organization and management (e.g. key managerial, decision-making or technical staff); c) contact address and sites; d) scope of operations under the certified management system; e) major changes to the management system and processes.  NOTE A model of license agreement for the use of certification, including the aspects related to a notice of changes, as far as applicable, is found in Annex E of ISO/IEC Guide 28:2004.					
<b>9 Process requirements</b>					
<b>9.1 General requirements</b>					
<b>9.1.1</b> Does the audit programmes include a two-stage initial audit, surveillance audits in the first and second years, and a recertification audit in the third year prior to					

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	Y	N	N/A		
<p>expiration of certification?</p> <p>Does the three-year certification cycle begin with the certification or recertification decision?</p> <p>Does the determination of the audit programmes and any subsequent adjustments consider the size of the client organization, 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?</p> <p>Where a certification body is taking account of certification or other audits already granted to the client, does the certification body collect sufficient, verifiable information to justify and record any adjustments to the audit programmes?</p>					
<p><b>9.1.2</b> Does the certification body ensure that an audit plan is established for each audit to provide the basis for agreement regarding the conduct and scheduling of the audit activities?</p> <p>Is this audit plan based on documented requirements of the certification body, drawn up in accordance with the relevant guidance</p>					

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	Y	N	N/A		
provided in ISO 19011.					
<p><b>9.1.3</b> Does the certification body have a process for selecting and appointing the audit team, including the audit team leader, taking into account the competence needed to achieve the objectives of the audit?</p> <p>Is this based on documented requirements, drawn up in accordance with the relevant guidance provided in ISO 19011?</p>					
<p><b>9.1.4</b> Does the certification body have documented procedures for determining audit time?</p> <p>Does the certification body, for each client, determine the time needed to plan and accomplish a complete and effective audit of the client's management system?</p> <p>Is the audit time determined by the certification body and the justification for the determination recorded?</p> <p>In determining the audit time, does the certification body consider, among other things, the following aspects:</p> <p>a) the requirements of the relevant</p>					

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	Y	N	N/A		
management system standard; b) size and complexity; c) technological and regulatory context; d) any outsourcing of any activities included in the scope of the management system; e) the results of any prior audits; f) number of sites and multi-site considerations.					
<b>9.1.5</b> Has the certification body developed sampling programmes to ensure proper audit of the management system where multi-site sampling is utilized for the audit of a client's management system covering the same activity in various locations?  Is the rationale for the sampling plan documented for each client?					
<b>9.1.6</b> Are the tasks given to the audit team defined and made known to the client organization?  Does the task require the audit team;					

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REQUIREMENT	COMPLIANCE			DOCUMENT REFERENCE	ASSESSOR COMMENTS
	Y	N	N/A		
<p>a) to examine and verify the structure, policies, processes, procedures, records and related documents of the client organization relevant to the management system;</p> <p>b) to determine that these meet all the requirements relevant to the intended scope of certification;</p> <p>c) to determine that the processes and procedures are established, implemented and maintained effectively, to provide a basis for confidence in the client's management system;</p> <p>d) to communicate to the client, for its action, any inconsistencies between the client's policy, objectives and targets (consistent with the expectations in the relevant management system standard or other normative document) and the results.</p>					
<p><b>9.1.7</b> 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 organization to object to the appointment of any particular auditor or technical expert and for the certification body</p>					

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	Y	N	N/A		
to reconstitute the team in response to any valid objection?					
<b>9.1.8</b> Is the audit plan communicated and the dates of the audit agreed upon, in advance, with the client organization?					
<p><b>9.1.9</b> Does the certification body have a process for conducting on-site audits defined in documented requirements drawn up in accordance with the relevant guidance provided in ISO 19011?</p> <p>NOTE 1 In addition to visiting physical location(s) (e.g. factory), “on-site” can include remote access to electronic site(s) that contain(s) information that is relevant to the audit of the management system.</p> <p>NOTE 2 The term “auditee” as used in ISO 19011 means the organization being audited.</p>					
<p><b>9.1.10</b> Does the certification body provide a written report for each audit?</p> <p>Is the report based on relevant guidance provided in ISO 19011?</p> <p>Is the ownership of the audit report maintained by the certification body?</p> <p><i>Note: The audit team may identify</i></p>					

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	Y	N	N/A		
<i>opportunities for improvement but shall not recommend specific solutions.</i>					
<b>9.1.11</b> Does the certification body require the client to analyze the cause and describe the specific correction and corrective actions taken, or planned to be taken, to eliminate detected non-conformities, within a defined time?					
<b>9.1.12</b> Does the certification body review the corrections and corrective actions submitted by the client to determine if these are acceptable?					
<b>9.1.13</b> Is the audited organization 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?					
<b>9.1.14</b> Does the certification body ensure that the persons or committees that make the certification or recertification decisions are different from those who carried out the audits?					

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	Y	N	N/A		
<p><b>9.1.15</b> Does the certification body confirm, prior to making a decision, that:</p> <p>a) the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification;</p> <p>b) it has reviewed, accepted and verified the effectiveness of correction and corrective actions, for all nonconformities that represent</p> <p style="margin-left: 40px;">1) failure to fulfill one or more requirements of the management system standard, or</p> <p style="margin-left: 40px;">2) a situation that raises significant doubt about the ability of the client's management system to achieve its intended outputs;</p> <p>c) it has reviewed and accepted the client's planned correction and corrective action for any other nonconformities?</p>					
<b>9.2 Initial audit and certification</b>					
<p><b>9.2.1 Application</b></p> <p>Does the certification body require an authorized representative of the applicant</p>					

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	Y	N	N/A		
<p>organization to provide the necessary information to enable it to establish the following:</p> <ul style="list-style-type: none"> <li>a) the desired scope of the certification;</li> <li>b) the general features of the applicant organization, including its name and the address(es) of its physical location(s), significant aspects of its process and operations and any relevant legal obligations;</li> <li>c) general information, relevant for the field of certification applied for, concerning the applicant organization, such as its activities, human and technical resources, functions and relationship in a larger corporation, if any;</li> <li>d) information concerning all outsourced processes used by the organization that will affect conformity to requirements;</li> <li>e) the standards or other requirements for which the applicant organization is seeking certification;</li> <li>f) information concerning the use of consultancy relating to the management system?</li> </ul>					

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REQUIREMENT	COMPLIANCE			DOCUMENT REFERENCE	ASSESSOR COMMENTS
	Y	N	N/A		
<b>9.2.2 Application review</b>					
<p><b>9.2.2.1</b> Before proceeding with the audit, does the certification body conduct a review of the application and supplementary information for certification to ensure that:</p> <p>a) the information about the applicant organization and its management system is sufficient for the conduct of the audit;</p> <p>b) the requirements for certification are clearly defined and documented, and have been provided to the applicant organization;</p> <p>c) any known difference in understanding between the certification body and the applicant organization is resolved;</p> <p>d) the certification body has the competence and ability to perform the certification activity;</p> <p>e) the scope of certification sought, the location(s) of the applicant organization'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.);</p>					

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	Y	N	N/A		
f) records of the justification for the decision to undertake the audit are maintained?					
<b>9.2.2.2</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><b>9.2.2.3</b> Is the audit team appointed and composed of auditors (and technical experts, as necessary) who, between them, have the totality of the competences identified by the certification body as set out in 9.2.2.2 for the certification of the applicant organization?</p> <p>Is the selection of the team performed with reference to the designations of competence of auditors and technical experts made under 7.2.5, and (may) include the use of both internal and external human resources?</p>					
<b>9.2.2.4</b> Is it ensured that individual(s) who will be conducting the certification decision appointed to ensure appropriate competence is available (see 7.2.9 and 9.2.2.2)?					
<p><b>9.2.3 Initial certification audit</b></p> <p>Is the initial certification audit of a</p>					

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	Y	N	N/A		
management system conducted in two stages: stage 1 and stage 2?					
<b>9.2.3.1 Stage 1 audit</b>					
<p><b>9.2.3.1.1</b> Is the stage 1 audit performed;</p> <p>a) to audit the client's management system documentation;</p> <p>b) to evaluate the client's location and site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for the stage 2 audit;</p> <p>c) to 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;</p> <p>d) to collect necessary information regarding the scope of the management system, processes and location(s) of the client, and related statutory and regulatory aspects and compliance (e.g. quality, environmental, legal aspects of the client's operation, associated</p>					

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	Y	N	N/A		
<p>risks, etc.);</p> <p>e) to review the allocation of resources for stage 2 audit and agree with the client on the details of the stage 2 audit;</p> <p>f) to provide a focus for planning the stage 2 audit by gaining a sufficient understanding of the client's management system and site operations in the context of possible significant aspects;</p> <p>g) to evaluate if the internal audits and management review are being planned and performed and that the level of implementation of the management system substantiates that the client is ready for the stage 2 audit.</p> <p><i>(For most management systems, it is recommended that at least part of the stage 1 audit be carried out at the client's premises in order to achieve the objectives stated above.)</i></p>					
<p><b>9.2.3.1.2</b> Is the stage 1 audit findings documented and communicated to the client, including identification of any areas of concern that could be classified as nonconformity during the stage 2 audits?</p>					

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REQUIREMENT	COMPLIANCE			DOCUMENT REFERENCE	ASSESSOR COMMENTS
	Y	N	N/A		
<p><b>9.2.3.1.3</b> In determining the interval between stage 1 and stage 2 audits, does the certification body consider the needs of the client to resolve areas of concern identified during the stage 1 audit? <i>(The certification body may also need to revise its arrangements for stage 2.)</i></p>					
<p><b>9.2.3.2 Stage 2 audit</b></p> <p>Since the purpose of the stage 2 audit is to evaluate the implementation, including effectiveness, of the client's management system, does the stage 2 audit take place at the site(s) of the client?</p> <p>Does it include at least the following:</p> <p>a) information and evidence about conformity to all requirements of the applicable management system standard or other normative document;</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>					

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	Y	N	N/A		
c) the client's management system and performance as regards legal compliance; d) operational control of the client's processes; e) internal auditing and management review; f) management responsibility for the client's policies; g) links between the normative requirements, policy, performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document), any applicable legal requirements, responsibilities, competence of personnel, operations, procedures, performance data and internal audit findings and conclusions?					
<b>9.2.4 Initial certification audit conclusions</b>  Does the audit team analyze all information and audit evidence gathered during the stage 1 and stage 2 audits to review the audit findings and agree on the audit conclusions?					
<b>9.2.5 Information for granting initial certification</b>					

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	Y	N	N/A		
<p><b>9.2.5.1</b> Does the information provided by the audit team to the certification body for the certification decision include, as a minimum:</p> <ul style="list-style-type: none"> <li>a) the audit reports;</li> <li>b) comments on the non-conformities and, where applicable, the correction and corrective actions taken by the client;</li> <li>c) confirmation of the information provided to the certification body used in the application review (see 9.2.2);</li> <li>d) a recommendation whether or not to grant certification, together with any conditions or observations.</li> </ul> <p><b>9.2.5.2</b> Does the certification body make the certification decision on the basis of an evaluation of the audit findings and conclusions and any other relevant information (e.g. public information, comments on the audit report from the client)?</p>					
<b>9.3 Surveillance activities</b>					
<b>9.3.1 General</b>					
<b>9.3.1.1</b> Does the certification body develop its					

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	Y	N	N/A		
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?					
<p><b>9.3.1.2</b> Does the surveillance activities include on-site audits assessing the certified client's management system's fulfillment of specified requirements with respect to the standard to which the certification is granted?</p> <p>Other surveillance activities may include</p> <ul style="list-style-type: none"> <li>a) enquiries from the certification body to the certified client on aspects of certification;</li> <li>b) reviewing any client's statements with respect to its operations (e.g. promotional material, website);</li> <li>c) requests to the client to provide documents and records (on paper or electronic media);</li> <li>d) other means of monitoring the certified client's performance.</li> </ul>					
<b>9.3.2 Surveillance audit</b>					

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	Y	N	N/A		
<p><b>9.3.2.1</b> As the surveillance audits are on-site audits, but are not necessarily full system audits, are they planned together with the other surveillance activities so that the certification body can maintain confidence that the certified management system continues to fulfill requirements between recertification audits?</p> <p>Does the surveillance audit programmes include, at least;</p> <ul style="list-style-type: none"> <li>a) internal audits and management review;</li> <li>b) a review of actions taken on nonconformities identified during the previous audit;</li> <li>c) treatment of complaints;</li> <li>d) effectiveness of the management system with regard to achieving the certified client's objectives;</li> <li>e) progress of planned activities aimed at continual improvement;</li> <li>f) continuing operational control;</li> <li>g) review of any changes;</li> <li>h) use of marks and/or any other reference to</li> </ul>					

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	Y	N	N/A		
certification?					
<p><b>9.3.2.2</b> Are the surveillance audits conducted at least once a year?</p> <p>Is it ensured that the date of the first surveillance audit following initial certification is not be more than 12 months from the last day of the stage 2 audit?</p>					
<p><b>9.3.3 Maintaining certification</b></p> <p>Does the certification body maintain certification based on demonstration that the client continues to satisfy the requirements of the management system standard?</p> <p>Is there a procedure to maintain a client's certification based on a positive conclusion by the audit team leader without further independent review, provided that</p> <p>a) for any 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 7.2.9), different from those who carried out the audit, to determine</p>					

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	Y	N	N/A		
whether certification can be maintained; b) competent personnel of the certification body monitor its surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity are operating effectively?					
<b>9.4 Recertification</b>					
<b>9.4.1 Recertification audit planning</b>					
<b>9.4.1.1</b> Is the recertification audit planned and conducted to evaluate the continued fulfillment of all of the requirements of the relevant management system standard or other normative document, to ensure the continued conformity and effectiveness of the management system as a whole and its continued relevance and applicability for the scope of certification?					
<b>9.4.1.2</b> Does the recertification audit consider the performance of the management system over the period of certification and include the review of previous surveillance audit reports?					
<b>9.4.1.3</b> Does the certification body, in case of					

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	Y	N	N/A		
recertification audit activities, need to 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)?					
<b>9.4.1.4</b> In the case of multiple sites or certification to multiple management system standards being provided by the certification body, does the planning for the audit ensure adequate on-site audit coverage to provide confidence in the certification?					
<b>9.4.2 Recertification audit</b>					
<b>9.4.2.1</b> Does the recertification audit include an on-site audit that addresses the following: 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; b) demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance;					

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	Y	N	N/A		
c) whether the operation of the certified management system contributes to the achievement of the organization's policy and objectives?					
<b>9.4.2.2</b> When, during a recertification audit, instances of nonconformity or lack of evidence of conformity are identified, does the certification body define time limits for correction and corrective actions to be implemented prior to the expiration of certification?					
<b>9.4.3 Information for granting recertification</b>  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?					
<b>9.5 Special audits</b>					
<b>9.5.1 Extensions to scope</b>  Does the certification body, in response to an application for extension to the scope of a					

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	Y	N	N/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? <i>This may be conducted in conjunction with a surveillance audit.</i>					
<p><b>9.5.2 Short-notice audits</b></p> <p>It may be necessary for the certification body to conduct audits of certified clients at short notice to investigate complaints (see 9.8), or in response to changes (see 8.6.3), or as follow up on suspended clients (see 9.6). In such cases</p> <p>a) does the certification body describe and make known in advance to the certified clients (e.g. in documents as described in 8.6.1) the conditions under which these short notice visits are to be conducted;</p> <p>b) Does the certification body 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?</p>					
<p><b>9.6 Suspending, withdrawing or reducing the scope of certification</b></p>					

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REQUIREMENT	COMPLIANCE			DOCUMENT REFERENCE	ASSESSOR COMMENTS
	Y	N	N/A		
<p><b>9.6.1</b> Does the certification body have a policy and documented procedure(s) for suspension, withdrawal or reduction of the scope of certification?</p> <p>Does the certification body specify the subsequent actions by the certification body?</p>					
<p><b>9.6.2</b> Does the certification body suspend certification in cases when, for example,</p> <ul style="list-style-type: none"> <li>• the client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system,</li> <li>• the certified client does not allow surveillance or recertification audits to be conducted at the required frequencies, or</li> <li>• The certified client has voluntarily requested a suspension.</li> </ul>					
<p><b>9.6.3</b> Under suspension, the client's management system certification is temporarily invalid. Does the certification</p>					

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	Y	N	N/A		
<p>body have enforceable arrangements with its clients to ensure that in case of suspension the client refrains from further promotion of its certification?</p> <p>Does the certification body make the suspended status of the certification publicly available (see 8.1.3) and take any other measures it deems appropriate?</p>					
<p><b>9.6.4</b> Does the certification body procedure ensure that failure to resolve the issues that have resulted in the suspension in a time established by the certification body in withdrawal or reduction of the scope of certification?</p> <p>NOTE In most cases the suspension would not exceed 6 months.</p>					
<p><b>9.6.5</b> 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?</p> <p>Is this reduction in line with the requirements of the standard used for certification?</p>					

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	Y	N	N/A		
<b>9.6.6</b> Does the certification body have enforceable arrangements with the certified client concerning conditions of withdrawal [see 8.4.3.d)] ensuring upon notice of withdrawal of certification that the client discontinues its use of all advertising matter that contains any reference to a certified status?					
<b>9.6.7</b> Upon request by any party, does the certification body correctly state the status of certification of a client's management system as being suspended, withdrawn or reduced?					
<b>9.7 Appeals</b>					
<b>9.7.1</b> Does the certification body have a documented process to receive, evaluate and make decisions on appeals?					
<b>9.7.2</b> Is the description of the appeals-handling process publicly available?					
<b>9.7.3</b> Is the certification body responsible for all decisions at all levels of the appeals-handling process?  Does the certification body ensure that the					

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	Y	N	N/A		
persons engaged in the appeals-handling process are different from those who carried out the audits and made the certification decisions?					
<b>9.7.4</b> Is it ensured that submission, investigation and decision on appeals do not result in any discriminatory actions against the appellant?					
<b>9.7.5</b> Does the appeals-handling process include at least the following elements and methods:  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;  b) tracking and recording appeals, including actions undertaken to resolve them;  c) ensuring that any appropriate correction and corrective action are taken?					
<b>9.7.6</b> Does the certification body acknowledge receipt of the appeal and provide the appellant with progress reports and the					

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	Y	N	N/A		
outcome?					
<b>9.7.7</b> 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?					
<b>9.7.8</b> Does the certification body give formal notice to the appellant of the end of the appeals-handling process?					
<b>9.8 Complaints</b>					
<b>9.8.1</b> Is the description of the complaints-handling process publicly available?					
<b>9.8.2</b> Upon receipt of a complaint, does the certification body confirm whether the complaint relates to certification activities that it is responsible for and, if so, shall deal with it?  If the complaint relates to a certified client, then does the examination of the complaint consider the effectiveness of the certified management system?					
<b>9.8.3</b> Is any complaint about a certified client					

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	Y	N	N/A		
also referred by the certification body to the certified client in question at an appropriate time?					
<p><b>9.8.4</b> 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?</p> <p><b>9.8.5</b> Does the complaints-handling process include at least the following elements and methods:</p> <p>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;</p> <p>b) tracking and recording complaints, including actions undertaken in response to them;</p> <p>c) ensuring that any appropriate correction and corrective action are taken?</p> <p>NOTE ISO 10002 provides guidance for complaints handling.</p>					

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	Y	N	N/A		
<b>9.8.6</b> Is the certification body receiving the complaint responsible for gathering and verifying all necessary information to validate the complaint?					
<b>9.8.7</b> Whenever possible, does the certification body acknowledge receipt of the complaint and provide the complainant with progress reports and the outcome?					
<b>9.8.8</b> 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?					
<b>9.8.9</b> Whenever possible, does the certification body give formal notice of the end of the complaints handling process to the complainant?					
<b>9.8.10</b> 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 shall be made public?					
<b>9.9 Records of applicants and clients</b>					

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REQUIREMENT	COMPLIANCE			DOCUMENT REFERENCE	ASSESSOR COMMENTS
	Y	N	N/A		
<p><b>9.9.1</b> 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?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
<p><b>9.9.2</b> Do the 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;</li> <li>d) justification for auditor time determination (see 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</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

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	Y	N	N/A		
decisions;  l) certification documents, including the scope of certification with respect to product, process or service, as applicable;  j) related records necessary to establish the credibility of the certification, such as evidence of the competence of auditors and technical experts?  NOTE Methodology of sampling includes the sampling employed to assess the specific management system and/or to select sites in the context of multi-site assessment.					
<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 the records transported, transmitted or transferred in a way that ensures that confidentiality is maintained?					
<b>9.9.4</b> Does the certification body have a documented policy and documented procedures on the retention of records?  Are the records retained for the duration of the					

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	Y	N	N/A		
current cycle plus one full certification cycle? NOTE In some jurisdictions, the law stipulates that records need to be maintained for a longer time period.					
<b>10 Management system requirements for certification bodies</b>					
<b>10.1 Options</b>  Has the certification body established and maintained a management system that is capable of supporting and demonstrating the consistent achievement of the requirements of this International Standard?  In addition to meeting the requirements of Clauses 5 to 9, has the certification body implemented a management system in accordance with either a) management system requirements in accordance with ISO 9001, or b) general management system requirements.					
<b>10.2 Option 1: Management system requirements in accordance with ISO</b>					

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REQUIREMENT	COMPLIANCE			DOCUMENT REFERENCE	ASSESSOR COMMENTS
	Y	N	N/A		
<b>9001</b>					
<b>10.2.1 General</b> Has the certification body established and maintained a management system, in accordance with the requirements of ISO 9001 that is capable of supporting and demonstrating the consistent achievement of the requirements of this International Standard, amplified by 10.2.2 to 10.2.5?					
<b>10.2.2 Scope</b> For application of the requirements of ISO 9001, does the scope of the management system include the design and development requirements for its certification services?					
<b>10.2.3 Customer focus</b> For application of the requirements of ISO 9001, when developing its management system, has the certification body considered the credibility of certification and addressed the needs of all parties (as set out in 4.1.2) that rely upon its audit and certification services, not just its clients?					

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REQUIREMENT	COMPLIANCE			DOCUMENT REFERENCE	ASSESSOR COMMENTS
	Y	N	N/A		
<p><b>10.2.4 Management review</b></p> <p>For application of the requirements of ISO 9001, has the certification body included as input for management review, information on relevant appeals and complaints from users of certification activities?</p>					
<p><b>10.2.5 Design and development</b></p> <p>For application of the requirements of ISO 9001, when developing a new management system certification scheme, or adapting an existing one to special circumstances, has the certification body ensured that the guidance given in ISO 19011, and which is appropriate to third-party situations, is included as a design input?</p>					
<p><b>10.3 Option 2: General management system requirements</b></p>					
<p><b>10.3.1 General</b></p> <p>Has the certification body established, documented, implemented and maintained a management system that is capable of supporting and demonstrating the consistent achievement of the requirements of this</p>					

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The noted references should specify procedure number, page number and section number, if possible, where each checklist item is addressed.

## SELF ASSESSMENT – CERTIFICATION ISO 17021:2011



REQUIREMENT	COMPLIANCE			DOCUMENT REFERENCE	ASSESSOR COMMENTS
	Y	N	N/A		
<p>International Standard?</p> <p>Has the certification body's top management established and documented policies and objectives for its activities?</p> <p>Does the top management provide evidence of its commitment to the development and implementation of the management system in accordance with the requirements of this International Standard?</p> <p>Does the top management ensure that the policies are understood, implemented and maintained at all levels of the certification body's organization?</p> <p>Has the certification body's top management appointed a member of management who, irrespective of other responsibilities, has responsibility and authority that include</p> <p>a) ensuring that processes and procedures needed for the management system are established, implemented and maintained, and</p> <p>b) reporting to top management on the performance of the management system and any need for improvement.</p>					

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REQUIREMENT	COMPLIANCE			DOCUMENT REFERENCE	ASSESSOR COMMENTS
	Y	N	N/A		
<p><b>10.3.2 Management system manual</b></p> <p>Has all applicable requirements of this International Standard been addressed either in a manual or in associated documents?</p> <p>Does the certification body ensure that the manual and relevant associated documents are accessible to all relevant personnel?</p>					
<p><b>10.3.3 Control of documents</b></p> <p>Has the certification body established procedures to control the documents (internal and external) that relate to the fulfillment of this International Standard?</p> <p>Do the procedures define the controls needed</p> <p>a) to approve documents for adequacy prior to issue;</p> <p>b) to review and update as necessary and re-approve documents;</p> <p>c) to ensure that changes and the current revision status of documents are identified;</p> <p>d) to ensure that relevant versions of applicable documents are available at points of use;</p>					

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	Y	N	N/A		
<p>e) to ensure that documents remain legible and readily identifiable;</p> <p>f) to ensure that documents of external origin are identified and their distribution controlled;</p> <p>g) to prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose?</p> <p>NOTE Documentation can be in any form or type of medium.</p>					
<p><b>10.3.4 Control of records</b></p> <p>Has the certification body established procedures to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of its records related to the fulfillment of this International Standard?</p> <p>Has the certification body established procedures for retaining records for a period consistent with its contractual and legal obligations?</p> <p>Is access to these records consistent with the confidentiality arrangements?</p> <p>NOTE For requirements for records on certified</p>					

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REQUIREMENT	COMPLIANCE			DOCUMENT REFERENCE	ASSESSOR COMMENTS
	Y	N	N/A		
clients, see also 9.9.					
<b>10.3.5 Management review</b>					
<p><b>10.3.5.1 General</b></p> <p>Has the certification body's top management established procedures to review its management system at planned intervals to ensure its continuing suitability, adequacy and effectiveness, including the stated policies and objectives related to the fulfillment of this International Standard?</p> <p>Are these reviews conducted at least once a year?</p>					
<p><b>10.3.5.2 Review inputs</b></p> <p>Do the input to the management review include information related to</p> <ul style="list-style-type: none"> <li>a) results of internal and external audits;</li> <li>b) feedback from clients and interested parties related to the fulfillment of this International Standard;</li> <li>c) feedback from the committee for safeguarding impartiality;</li> </ul>					

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	Y	N	N/A		
d) the status of preventive and corrective actions; e) follow-up actions from previous management reviews; f) the fulfillment of objectives; g) changes that could affect the management system; h) appeals and complaints?					
<b>10.3.5.3 Review outputs</b> Do the outputs from the management review include decisions and actions related to a) improvement of the effectiveness of the management system and its processes; b) improvement of the certification services related to the fulfillment of this International Standard; c) resource needs?					
<b>10.3.6 Internal audits</b>					
<b>10.3.6.1</b> Has the certification body established procedures for internal audits to verify that it fulfils the requirements of this International					

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REQUIREMENT	COMPLIANCE			DOCUMENT REFERENCE	ASSESSOR COMMENTS
	Y	N	N/A		
Standard and that the management system is effectively implemented and maintained?  NOTE ISO 19011 provides guidelines for conducting internal audits.					
<b>10.3.6.2</b> Has the audit programmes been planned, taking into consideration the importance of the processes and areas to be audited, as well as the results of previous audits?					
<b>10.3.6.3</b> Are the internal audits performed at least once every 12 months?  <i>The frequency of internal audits may be reduced if the certification body can demonstrate that its management system continues to be effectively implemented according to this International Standard and has proven stability.</i>					
<b>10.3.6.4</b> Does the certification body ensure that  a) internal audits are conducted by qualified personnel knowledgeable in certification, auditing and the requirements of this International Standard;					

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	Y	N	N/A		
b) auditors do not audit their own work; c) personnel responsible for the area audited are informed of the outcome of the audit; d) any actions resulting from internal audits are taken in a timely and appropriate manner; e) any opportunities for improvement are identified?					
<p><b>10.3.7 Corrective actions</b></p> Has the certification body established procedures for identification and management of nonconformities in its operations?  Does the certification body, where necessary, also take actions to eliminate the causes of nonconformities in order to prevent recurrence?  Is Corrective actions shall be appropriate to the impact of the problems encountered?  Do the procedures define requirements for a) identifying nonconformities (e.g. from complaints and internal audits); b) determining the causes of nonconformity;					

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	Y	N	N/A		
c) correcting nonconformities; d) evaluating the need for actions to ensure that nonconformities do not recur; e) determining and implementing in a timely manner, the actions needed; f) recording the results of actions taken; g) reviewing the effectiveness of corrective actions?					
<p><b>10.3.8 Preventive actions</b></p> Has the certification body established procedures for taking preventive actions to eliminate the causes of potential nonconformities?  Are the preventive actions taken appropriate to the probable impact of the potential problems?  Do the procedures for preventive actions define requirements for a) identifying potential nonconformities and their causes; b) evaluating the need for action to prevent the occurrence of nonconformities;					

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	Y	N	N/A		
c) determining and implementing the action needed; d) recording the results of actions taken; e) reviewing the effectiveness of the preventive actions taken?  NOTE The procedures for corrective and preventive actions do not necessarily have to be separate.					

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