



# Centre for Global Accreditation

Borsigstr 9, 10115 Berlin, Germany

Web: <http://www.cgaorg.com>

## CGA/ORG/23/06 Provisional Accreditation Checklist – Certification Bodies

### ISO/IEC 17021 CHECKLIST – Conformity assessment – Requirement for bodies providing audit and certification of management systems

**Legend:** C – Complies, O – Observation, T – To Address at Audit, N – Nonconformity, N/A – Not Applicable

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
<b>5</b>	<b>General Requirements</b>		
<b>5.1</b>	<b>Legal and contractual matters</b>		
<b>5.1.1</b>	<b>Legal responsibility</b>		
	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?		
	A governmental certification body is deemed to be a legal entity on the basis of its governmental status.		
<b>5.1.2</b>	<b>Certification agreement</b>		
	Does the certification body have a legally enforceable agreement for the provision of certification activities to its client?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	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?		
<b>5.1.3</b>	<b>Responsibility for certification decisions</b>		
	Is the certification body responsible for its decisions relating to certification, including the granting, maintaining, renewing, extending, reducing, suspending and withdrawing of certification?		
	Does the certification body retain authority for its decisions relating to certification, including the granting, maintaining, renewing, extending, reducing, suspending and withdrawing of certification?		
<b>5.2</b>	<b>Management of impartiality</b>		
5.2.1	Does the certification body have a publicly accessible statement demonstrating that it understands the importance of impartiality in carrying out its management system certification activities and managing conflicts of interest thus ensuring the objectivity of its management system certification activities?		
5.2.2	Has the certification body identified, analysed and documented the possibilities for conflict of interests arising from the provision of certification including any conflicts arising from its relationships?		
	Is the information made available to the committee specified in 6.2?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	Does the demonstration cover all potential sources of conflict of interests identified, whether they arise from within the certification body or from the activities of other persons, bodies or organizations?		
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.		
5.2.3	If a relationship poses an unacceptable threat to impartiality (such as a wholly owned subsidiary of the certification body requesting certification from its parent), is certification provided?		
NOTE:	See Note to 5.2.2.		
5.2.4	Is there any evidence of the certification body certifying another certification body for its management system certification activities?		
NOTE:	See Note to 5.2.2.		
5.2.5	Does the certification body or any part of the same legal entity offer or provide management system consultancy?		
	This also applies to that part of government identified as the certification body.		
5.2.6	Does the certification body or any part of the same legal entity offered or provided internal audits to its certified clients?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	Has the certification body certified a management system on which it provided internal audits within two years following the end of the internal audits?		
	The above also applies to that part of government identified as the certification body.		
NOTE:	See Note to 5.2.2.		
5.2.7	Has the certification body certified a management system where the relationship between the consultancy organization and the certification body poses an unacceptable threat to the impartiality of the certification body?		
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.		
NOTE 2	See Note to 5.2.2.		
5.2.8	Does the certification body outsource audits to a management system consultancy organization?		
5.2.9	Is the certification body's activities marketed or offered as being linked with the activities of an organization that provides management system consultancy?		

**Centre for Global Accreditation**

Borsigstr 9, 10115 Berlin, Germany

Web: <http://www.cgaorg.com>

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	Does the certification body take action to correct inappropriate claims by any consultancy organization stating or implying that certification would be simpler, easier, faster or less expensive if the certification body were used?		
	Does the certification body state or imply that certification would be simpler, easier, faster or less expensive if a specified consultancy organization were used?		
5.2.10	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?		
5.2.11	Does the certification body take action to respond to any threats to its impartiality arising from the actions of other persons, bodies or organizations?		
5.2.12	How does the certification body ensure that all 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?		
5.2.13	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?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	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?		
	Does the certification body use personnel, either internal or external, that cannot demonstrate that there is no conflict of interests?		
<b>5.3</b>	<b>Liability and financing</b>		
5.3.1	Can the certification body demonstrate that it has evaluated the risks arising from its certification activities?		
	Does the certification body have 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?		
5.3.2	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?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
6	<b>Structural requirements</b>		
6.1	<b>Organizational structure and top management</b>		
6.1.1	Has the certification body documented its organizational structure, showing duties, responsibilities and authorities of management and other certification personnel and any committees?		
	When the certification body is a defined part of a legal entity, does the structure include the line of authority and the relationship to other parts within the same legal entity?		
6.1.2	Has the certification body identified the top management (board, group of persons, or person) having overall authority and responsibility for each of the following:		
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;		



Clause	Requirement	Comments Manual and/or Procedures reference	Finding
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?		
6.1.3	Does the certification body have formal rules for the appointment, terms of reference and operation of committees involved in the certification activities?		
<b>6.2</b>	<b>Committee for safeguarding impartiality</b>		
6.2.1	Does the structure of the certification body safeguard the impartiality of the activities of the certification body and provide for a committee to:		
a)	assist in developing the policies relating to impartiality of its certification activities,		
b)	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,		
c)	advise on matters affecting confidence in certification, including openness and public perception, and		
d)	conduct a review, as least once annually, of the impartiality of the audit, certification and decision-making processes of the certification body?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
6.2.2	Is the composition, terms of reference, duties, authorities, competence of members and responsibilities of this committee formally documented and authorized by the top management of the certification body to ensure		
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),		
b)	access to all the information necessary to enable it to fulfil its functions (see also 5.2.2 and 5.3.2), and		
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.		
6.2.3	Has the certification body identified and invited key interests?		
<b>7</b>	<b>Resource requirements</b>		
<b>7.1</b>	<b>Competence of management and personnel</b>		
<b>7.1.1</b>	<b>General considerations</b>		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
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 certification body determined the competence required for each technical area (as relevant for the specific certification scheme), and for each function in the certification activity?		
	Has the certification body determined the means for demonstrating competence prior to carrying out specific functions?		
<b>7.1.2</b>	<b>Determination of competence criteria</b>		
7.1.2	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?		
	Has the certification body determined the competence criteria for each type of management system standard or specification, for each technical area, and for each function in the certification process?		
	Is the output of the process the documented criteria of required knowledge and skills necessary to effectively perform audit and certification tasks to be fulfilled to achieve the intended results?		
	Does the certification body apply the knowledge and skills for specific functions defined in Annex A?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	Does the certification body apply any additional specific competence criteria where they have been established for a specific certification scheme, e.g. ISO/TS 22003 (Food safety management systems).		
	<p>NOTE The term 'technical area' can be applied differently depending on the management system standard being considered. For any management system, the term is related to products and processes in the context of the scope of the management system standard. The technical areas can be defined by a specific certification scheme (e.g. ISO/TS 22003); or can be determined by the certification body.</p> <p>See standard for examples of the application of the term 'technical area' for different types of management systems.</p>		
<b>7.1.3</b>	<b>Evaluation processes</b>		
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 certification, applying the determined competence criteria?		
	Is the certification body able to demonstrate that its evaluation methods are effective?		
	Is the output from these processes being to identify personnel who have demonstrated the level of competence required for the different functions of the audit and certification process?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	NOTE A number of evaluation methods that can be used to evaluate knowledge and skills are described in Annex B.		
7.1.4	<b>Other considerations</b>		
7.1.4.1	Does the certification body, in determining the competence requirements for its personnel performing certification, address the functions undertaken by management and administrative personnel in addition to those directly performing audit and certification activities?		
7.1.4.2	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?		
<b>7.2</b>	<b>Personnel involved in the certification activities</b>		
7.2.1	Does the certification body have, as part of its own organization, personnel with sufficient competence for managing the type and range of audit programmes and other certification work performed?		
7.2.2	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?		
7.2.3	Does the certification body make clear to each person concerned their duties, responsibilities and authorities?		



# Centre for Global Accreditation

Borsigstr 9, 10115 Berlin, Germany

Web: <http://www.cgaorg.com>

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
7.2.4	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?		
	NOTE 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. Desired personal behaviours that are important for personnel involved in certification activities are described in Annex D.		
7.2.5	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?		
7.2.6	Does the certification body ensure that auditors (and, where needed, technical experts) are knowledgeable of its audit processes, certification requirements and other relevant requirements?		



# Centre for Global Accreditation

Borsigstr 9, 10115 Berlin, Germany

Web: <http://www.cgaorg.com>

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	Does the certification body give auditors and technical experts access to an up-to-date set of documented procedures giving audit instructions and all relevant information on the certification activities?		
7.2.7	Does the certification body use auditors and technical experts only for those certification activities where they have demonstrated competence?		
7.2.8	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?		
7.2.9	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?		
7.2.10	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 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?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
7.2.11	Are there documented procedures for monitoring auditors?		
	Do they include a combination of on-site observation, review of audit reports and feedback from clients or from the market?		
	Are the requirements for documented monitoring procedures documented?		
	Is the monitoring designed in such a way as to minimize disturbance to the normal processes of certification, especially from the client's viewpoint?		
7.2.12	Does the certification body periodically observe the performance of each auditor on-site?		
	Is the frequency of on-site observations based on the need determined from all monitoring information available?		
<b>7.3</b>	<b>Use of individual external auditors and external technical experts</b>		
	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?		
	Does the agreement address aspects relating to confidentiality and to independence from commercial and other interests?		



Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	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?		
<b>7.4</b>	<b>Personnel records</b>		
	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?		
	Does this include management and administrative personnel in addition to those performing certification activities?		
<b>7.5</b>	<b>Outsourcing</b>		
7.5.1	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?		
NOTE 1	This can include outsourcing to other certification bodies. Use of auditors and technical experts under contract is addressed in 7.3.		



# Centre for Global Accreditation

Borsigstr 9, 10115 Berlin, Germany

Web: <http://www.cgaorg.com>

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
NOTE 2	For the purposes of this International Standard, the terms “outsourcing” and “subcontracting” are considered to be synonyms.		
7.5.2	How does the certification body ensure that the decisions for granting, maintaining, renewing, extending, reducing, suspending or withdrawing certification are not outsourced?		
7.5.3	Does the certification body		
a)	take responsibility for all activities outsourced to another body,		
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, and		
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?		
7.5.4	Does the certification body have documented procedures for the qualification and monitoring of all bodies that provide outsourced services used for certification activities?		
	Does the certification body ensure that records of the competence of auditors and technical experts are maintained?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
<b>8</b>	<b>Information requirements</b>		
<b>8.1</b>	<b>Publicly accessible information</b>		
8.1.1	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?		
8.1.2	Does the certification body ensure that information provided to any client or to the marketplace, including advertising, is accurate and not misleading?		
8.1.3	Does the certification body make information about certifications granted, suspended or withdrawn, publicly accessible?		
8.1.4	Does the certification body, on request from any party, provide the means to confirm the validity of a given certification?		
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).		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
NOTE 2	In exceptional cases, access to certain information can be limited on the request of the client (e.g. for security reasons).		
<b>8.2</b>	<b>Certification documents</b>		
8.2.1	How does the certification body provide certification documents to the certified client?		
8.2.2	Is the effective date on a certification document before the date of the certification decision?		
8.2.3	Do the certification document(s) identify the following:		
a)	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);		
b)	the dates of granting, extending or renewing certification;		
c)	the expiry date or recertification due date consistent with the recertification cycle;		
d)	a unique identification code;		
e)	the standard and/or other normative document, including issue number and/or revision, used for audit of the certified client;		
f)	the scope of certification with respect to product (including service), process, etc., as applicable at each site;		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
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;		
h)	any other information required by the standard and/or other normative document used for certification;		
i)	in the event of issuing any revised certification documents, a means to distinguish the revised documents from any prior obsolete documents?		
<b>8.3</b>	<b>Directory of certified clients</b>		
	Does the certification body maintain and make publicly accessible, or provide upon request, a directory of valid certifications that as a minimum 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)?		
NOTE	The directory remains the sole property of the certification body.		
<b>8.4</b>	<b>Reference to certification and use of marks</b>		
8.4.1	Does the certification body have a policy governing any mark that it authorizes certified clients to use?		
	Does this assure, among other things, traceability back to the certification body?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	Is there any ambiguity, in the mark or accompanying text, as to what has been certified and which certification body has granted the certification?		
	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?		
NOTE	ISO/IEC 17030 provides requirements for use of third-party marks.		
8.4.2	How does the certification body ensure that its marks are not applied to laboratory test, calibration or inspection reports? Such reports are deemed to be products in this context.		
8.4.3	Does the certification body require that the client organization:		
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,		
b)	does not make or permit any misleading statement regarding its certification,		
c)	does not use or permit the use of a certification document or any part thereof in a misleading manner,		
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),		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
e)	amends all advertising matter when the scope of certification has been reduced,		
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,		
g)	does not imply that the certification applies to activities that are outside the scope of certification, and		
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.		
8.4.4	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?		
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</b>	<b>Confidentiality</b>		
8.5.1	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?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
8.5.2	Does the certification body inform the client, in advance, of the information it intends to place in the public domain?		
	Is all other information, except for information that is made publicly accessible by the client, considered confidential?		
8.5.3	Except as required in this International Standard, is information about a particular client or individual disclosed to a third party without the written consent of the client or individual concerned?		
	Where the certification body is required by law to release confidential information to a third party, is the client or individual concerned, unless regulated by law, notified in advance of the information provided?		
8.5.4	Is information about the client from sources other than the client (e.g. complainant, regulators) treated as confidential?		
	Is this treatment consistent with the certification body's policy?		
8.5.5	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 confidential?		
8.5.6	Does the certification body have available and use equipment and facilities that ensure the secure handling of confidential information (e.g. documents, records)?		



Clause	Requirement	Comments Manual and/or Procedures reference	Finding
8.5.7	When confidential information is made available to other bodies (e.g. accreditation body, agreement group of a peer assessment scheme), does the certification body inform its client of this action?		
<b>8.6</b>	<b>Information exchange between a certification body and its clients</b>		
<b>8.6.1</b>	<b>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;		
c)	information about the fees for application, initial certification and continuing certification;		
d)	the certification body's requirements for prospective clients		
1)	to comply with certification requirements,		
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		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
3)	to make provisions, where applicable, to accommodate the presence of observers (e.g. accreditation auditors or trainee auditors);		
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;		
f)	information on procedures for handling complaints and appeals.		
<b>8.6.2</b>	<b>Notice of changes by a certification body</b>		
	Does the certification body give its certified clients due notice of any changes to its requirements for certification?		
	Does the certification body verify that each certified client complies with the new requirements?		
<b>8.6.3</b>	<b>Notice of changes by a client</b>		
	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 fulfil the requirements of the standard used for certification?		
	Do these include, for example, changes relating to:		
a)	the legal, commercial, organizational status or ownership,		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
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, and		
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</b>	<b>Process requirements</b>		
<b>9.1</b>	<b>General requirements</b>		
<b>9.1.1</b>	<b>Audit Program</b>		
9.1.1.1	Does the certification body develop an audit programme for the full certification cycle to clearly identify the audit activity(ies) required to demonstrate that the client's management system fulfils the requirements for certification to the selected standard(s) or other normative document(s)?		
9.1.1.2	Does the audit programme include a two-stage initial audit, surveillance audits in the first and second years, and a recertification audit in the third year prior to expiration of certification?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	Does the three-year certification cycle begin with the certification or recertification decision?		
	Does the certification body 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 when determining the audit programme and any subsequent adjustments?		
NOTE 1	Annex E is a flowchart of a typical third-party audit and certification process.		
NOTE 2	Annex F lists additional items that can be considered when developing or revising an audit programme		
9.1.1.3	Does the certification body collect sufficient, verifiable information to justify and record any adjustments to the audit programme?		
<b>9.1.2</b>	<b>Audit Plan</b>		
<b>9.1.2.1</b>	<b>General</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?		
	Is the audit plan based on documented requirements of the certification body?		
<b>9.1.2.2</b>	<b>Determining Audit objectives scope and criteria</b>		



# Centre for Global Accreditation

Borsigstr 9, 10115 Berlin, Germany

Web: <http://www.cgaorg.com>

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
9.1.2.2.1	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?		
9.1.2.2.2	Do the audit objectives describe what is to be accomplished by the audit and include the following?		
a)	determination of the conformity of the client's management system, or parts of it, with audit criteria;		
b)	evaluation of the ability of the management system to ensure the client organization meets applicable statutory, regulatory and contractual requirements;		
	NOTE A management system certification audit is not a legal compliance audit.		
c)	evaluation of the effectiveness of the management system to ensure the client organization is continually meeting its specified objectives;		
d)	as applicable, identification of areas for potential improvement of the management system.		
<b>9.1.2.2.3</b>	Does the audit scope describe the extent and boundaries of the audit, such as physical locations, organizational units, activities and processes to be audited?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	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, is the totality of audits consistent with the scope in the certification document?		
	NOTE Annex F lists additional items that can be considered when preparing or revising the audit scope.		
<b>9.1.2.2.4</b>	Is the audit criteria used as a reference against which conformity is determined, and does it include: <ul style="list-style-type: none"> <li>• the requirements of a defined normative document on management systems;</li> <li>• the defined processes and documentation of the management system developed by the client.</li> </ul>		
<b>9.1.2.3</b>	<b>Preparing the audit plan</b>		
	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:		
a)	the audit objectives;		
b)	the audit criteria;		
c)	the audit scope, including identification of the organizational and functional units or processes to be audited;		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
d)	the dates and sites where the on-site audit activities are to be conducted, including visits to temporary sites, as appropriate;		
e)	the expected time and duration of on-site audit activities;		
f)	the roles and responsibilities of the audit team members and accompanying persons.		
	NOTE 1 The audit plan information can be contained in more than one document.		
	NOTE 2 Annex F lists additional items that can be considered when preparing or revising the audit plan.		
<b>9.1.3</b>	<b>Audit team selection and assignments</b>		
<b>9.1.3.1</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?		
	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?		
<b>9.1.3.2</b>	In deciding the size and composition of the audit team, does the CAB give consideration to the following:		
a)	audit objectives, scope, criteria and estimated time of the audit;		
b)	whether the audit is a combined, integrated or joint audit;		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
c)	the overall competence of the audit team needed to achieve the objectives of the audit;		
d)	certification requirements (including any applicable statutory, regulatory or contractual requirements);		
e)	language and culture;		
f)	whether the members of the audit team have previously audited the client's management system.		
<b>9.1.3.3</b>	Is the knowledge and skills of the audit team leader and auditors supplemented by technical experts, translators and interpreters?		
	Do these team members operate under the direction of an auditor?		
	Are translators or interpreters selected such that they do not unduly influence the audit?		
	NOTE 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.		
<b>9.1.3.4</b>	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?		



Clause	Requirement	Comments Manual and/or Procedures reference	Finding
<b>9.1.3.5</b>	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?		
	Changes to the work assignments may be made as the audit progresses to ensure achievement of the audit objectives.		
<b>9.1.4</b>	<b>Determining audit time</b>		
<b>9.1.4.1</b>	Does the certification body have documented procedures for determining audit time?  Does the certification body determine, for each client, the time needed to plan and accomplish a complete and effective audit of the client's management system?		
	Does the certification body record the audit time calculation and the justification for the calculation?		
	In determining the audit time, does the certification body consider, among other things, the following aspects:		
a)	the requirements of the relevant management system standard;		
b)	size and complexity;		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
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?		
g)	the risks associated with the products, processes or activities of the organization;		
h)	when audits are combined, joint or integrated.		
	Does the certification body apply specific criteria for a specific certification scheme where these have been established, e.g. ISO/TS 22003 or ISO/IEC 27006?		
<b>9.1.4.2</b>	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) count in the above established audit time?		
	NOTE The use of translators, interpreters can necessitate additional audit time.		
<b>9.1.5</b>	<b>Multi-site sampling</b>		
	Where multi-site sampling is utilized for the audit of a client's management system covering the same activity in various locations, does the certification body develop a sampling programme to ensure proper audit of the management system?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	Is the rationale for the sampling plan documented for each client?		
<b>9.1.6</b>	<b>Communication of audit team tasks</b>		
	Are the tasks given to the audit team defined and made known to the client organization, and require the audit team to		
a)	examine and verify the structure, policies, processes, procedures, records and related documents of the client organization relevant to the management system,		
b)	determine that these meet all the requirements relevant to the intended scope of certification,		
c)	determine that the processes and procedures are established, implemented and maintained effectively, to provide a basis for confidence in the client's management system, and		
d)	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.		
<b>9.1.7</b>	<b>Communication concerning audit team members</b>		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	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 to reconstitute the team in response to any valid objection?		
<b>9.1.8</b>	<b>Communication of audit plan</b>		
	Is the audit plan communicated and the dates of the audit agreed upon, with the client organization in advance?		
<b>9.1.9</b>	<b>Conducting on-site audits</b>		
<b>9.1.9.1</b>	<b>General</b>		
	Does the certification body have a process for conducting on-site audits?		
	Does this process include an opening meeting at the start of the audit and a closing meeting at the conclusion of the audit?		
	NOTE 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.		
<b>9.1.9.2</b>	<b>Conducting the opening meeting</b>		



# Centre for Global Accreditation

Borsigstr 9, 10115 Berlin, Germany

Web: <http://www.cgaorg.com>

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	Is a formal opening meeting, where attendance is recorded, held with the client's management and, where appropriate, those responsible for the functions or processes to be audited?		
	Is the purpose of the opening meeting to provide a short explanation of how the audit activities will be undertaken and include the following elements?		
	Is the degree of detail consistent with the familiarity of the client with the audit process:		
a)	introduction of the participants, including an outline of their roles;		
b)	confirmation of the scope of certification;		
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 meetings between the audit team and the client's management;		
d)	confirmation of formal communication channels between the audit team and the client;		
e)	confirmation that the resources and facilities needed by the audit team are available;		
f)	confirmation of matters relating to confidentiality;		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
g)	confirmation of relevant work safety, emergency and security procedures for the audit team;		
h)	confirmation of the availability, roles and identities of any guides and observers;		
i)	the method of reporting, including any grading of audit findings;		
j)	information about the conditions under which the audit may be prematurely terminated;		
k)	confirmation that the audit team leader and audit team representing the certification body is responsible for the audit and shall be in control of executing the audit plan including audit activities and audit trails;		
l)	confirmation of the status of findings of the previous review or audit, if applicable;		
m)	methods and procedures to be used to conduct the audit based on sampling;		
n)	confirmation of the language to be used during the audit;		
o)	confirmation that, during the audit, the client will be kept informed of audit progress and any concerns;		
p)	opportunity for the client to ask questions.		
<b>9.1.9.3</b>	<b>Communication during the audit</b>		



# Centre for Global Accreditation

Borsigstr 9, 10115 Berlin, Germany

Web: <http://www.cgaorg.com>

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
9.1.9.3.1	During the audit, does the CAB's audit team periodically assess audit progress and exchange information?		
	Does the audit team leader reassign work as needed between the audit team members and periodically communicate the progress of the audit and any concerns to the client?		
9.1.9.3.2	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 and, if possible, to the certification body to determine appropriate action?		
	Does such action include reconfirmation or modification of the audit plan, changes to the audit objectives or audit scope, or termination of the audit?		
	Does the audit team leader report the outcome of the action taken to the certification body?		
9.1.9.3.3	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?		
9.1.9.4	<b>Observers and guides</b>		
9.1.9.4.1	<b>Observers</b>		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	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 influence or interfere in the audit process or outcome of the audit?		
	NOTE Observers can be members of the client's organization, consultants, witnessing accreditation body personnel, regulators or other justified persons.		
<b>9.1.9.4.2</b>	<b>Guides</b>		
	Is each auditor accompanied by a guide, unless otherwise agreed to by the audit team leader and the client? Note: Guide(s) are assigned to the audit team to facilitate the audit.		
	Does the audit team ensure that guides do not influence or interfere in the audit process or outcome of the audit?		
	NOTE The responsibilities of a guide can include:		
a)	establishing contacts and timing for interviews;		
b)	arranging visits to specific parts of the site or organization;		
c)	ensuring that rules concerning site safety and security procedures are known and respected by the audit team members;		
d)	witnessing the audit on behalf of the client;		



Clause	Requirement	Comments Manual and/or Procedures reference	Finding
e)	providing clarification or information as requested by an auditor.		
<b>9.1.9.5</b>	<b>Collecting and verifying information</b>		
<b>9.1.9.5.1</b>	During the audit, is information relevant to the audit objectives, scope and criteria (including information relating to interfaces between functions, activities and processes) collected by appropriate sampling and verified to become audit evidence?		
<b>9.1.9.5.2</b>	Do the methods to collect information include, but not limited to:		
a)	interviews;		
b)	observation of processes and activities;		
c)	review of documentation and records.		
<b>9.1.9.6</b>	<b>Identifying and recording audit findings</b>		
<b>9.1.9.6.1</b>	Are audit findings summarizing conformity and detailing nonconformity and supporting audit evidence recorded and reported to enable an informed certification decision to be made or the certification to be maintained?		
<b>9.1.9.6.2</b>	Are opportunities for improvement identified and recorded, unless prohibited by the requirements of a management system certification scheme?		
	Are audit findings which are nonconformities in accordance with 9.1.15 b) and c) not able to be recorded as opportunities for improvement?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
<b>9.1.9.6.3</b>	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?		
	NOTE Nonconformities, consistent with the requirements of 9.1.15 b), can be classified as major, whereas other nonconformities [9.1.15 c)] can be classified as minor nonconformities.		
<b>9.1.9.6.4</b>	Does the audit team leader attempt to resolve any diverging opinions between the audit team and the client concerning audit evidence or findings, and unresolved points recorded?		
<b>9.1.9.7</b>	<b>Preparing audit conclusions</b>		
	Prior to the closing meeting, does the audit team:		
a)	review the audit findings, and any other appropriate information collected during the audit, against the audit objectives;		
b)	agree upon the audit conclusions, taking into account the uncertainty inherent in the audit process;		
c)	identify any necessary follow-up actions;		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
d)	confirm the appropriateness of the audit programme or identify any modification required (e.g. scope, audit time or dates, surveillance frequency, competence).		
<b>9.1.9.8</b>	<b>Conducting the closing meeting</b>		
<b>9.1.9.8.1</b>	Is a formal closing meeting, where attendance is recorded, held with the client's management and, where appropriate, those responsible for the functions or processes audited?		
	Is the purpose of the closing meeting to present the audit conclusions, including the recommendation regarding certification?		
	Are nonconformities presented in such a manner that they are understood, and the timeframe for responding agreed?		
	NOTE "Understood" does not necessarily mean that the nonconformities have been accepted by the client.		
<b>9.1.9.8.2</b>	Does the closing meeting also include the following elements? Is the degree of detail consistent with the familiarity of the client with the audit process:		
a)	advising the client that the audit evidence collected was based on a sample of the information; thereby introducing an element of uncertainty;		
b)	the method and timeframe of reporting, including any grading of audit findings;		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
c)	the certification body's process for handling nonconformities including any consequences relating to the status of the client's certification;		
d)	the timeframe for the client to present a plan for correction and corrective action for any nonconformities identified during the audit;		
e)	the certification body's post audit activities;		
f)	information about the complaint handling and appeal processes.		
<b>9.1.9.8.3</b>	Is the client given 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?		
<b>9.1.10</b>	<b>Audit report</b>		
	Does the certification body provide 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?		
<b>9.1.10.2</b>	Does the audit team leader ensure that the audit report is prepared and responsible for its content?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	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:		
a)	identification of the certification body;		
b)	the name and address of the client and the client's management representative;		
c)	the type of audit (e.g. initial, surveillance or recertification audit);		
d)	the audit criteria;		
e)	the audit objectives;		
f)	the audit scope, particularly identification of the organizational or functional units or processes audited and the time of the audit;		
g)	identification of the audit team leader, audit team members and any accompanying persons;		
h)	the dates and places where the audit activities (on site or offsite) were conducted;		
i)	audit findings, evidence and conclusions, consistent with the requirements of the type of audit;		
j)	any unresolved issues, if identified.		
<b>9.1.11</b>	<b>Cause analysis of nonconformities</b>		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	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?		
<b>9.1.12</b>	<b>Effectiveness of corrections and corrective actions</b>		
	Does the certification body review the corrections, identified causes and corrective actions submitted by the client to determine if these are acceptable?		
	Does the certification body verify the effectiveness of any correction and corrective actions taken?		
	Is evidence obtained to support the resolution of nonconformities recorded?		
	Is the client informed of the result of the review and verification?		
	NOTE 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.		
<b>9.1.13</b>	<b>Additional audits</b>		
	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?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
<b>9.1.14</b>	<b>Certification decision</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?		
<b>9.1.15</b>	<b>Actions prior to making a decision</b>		
	Does the certification body confirm, prior to making a decision, that:		
a)	the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification;		
b)	it has reviewed, accepted and verified the effectiveness of correction and corrective actions, for all nonconformities that represent		
1)	failure to fulfil one or more requirements of the management system standard, or		
2)	a situation that raises significant doubt about the ability of the client's management system to achieve its intended outputs;		
c)	it has reviewed and accepted the client's planned correction and corrective action for any other nonconformities.		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
9.2	<b>Initial audit and certification</b>		
9.2.1	<b>Application</b>		
	Does the certification body require an authorized representative of the applicant organization to provide the necessary information to enable it to establish the following:		
a)	the desired scope of the certification;		
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;		
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;		
d)	information concerning all outsourced processes used by the organization that will affect conformity to requirements;		
e)	the standards or other requirements for which the applicant organization is seeking certification;		
f)	information concerning the use of consultancy relating to the management system?		



Clause	Requirement	Comments Manual and/or Procedures reference	Finding
<b>9.2.2</b>	<b>Application review</b>		
9.2.2.1	Before proceeding with the audit, does the certification body conduct a review of the application and supplementary information for certification to ensure that		
a)	the information about the applicant organization and its management system is sufficient for the conduct of the audit;		
b)	the requirements for certification are clearly defined and documented, and have been provided to the applicant organization;		
c)	any known difference in understanding between the certification body and the applicant organization is resolved;		
d)	the certification body has the competence and ability to perform the certification activity;		
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.);		
f)	records of the justification for the decision to undertake the audit are maintained?		
9.2.2.2	Following the review of the application, does the certification body either accept or decline an application for certification?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	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?		
	NOTE When declining an application for certification, the certification body should be careful not to act in conflict with the principles set out in Clause 4.		
9.2.2.2	Based on this review, does the certification body determine the competences it needs to include in its audit team and for the certification decision?		
9.2.2.4	Is the audit team appointed and composed of auditors (and technical experts, as necessary) who, between them, have the totality of the competencies identified by the certification body as set out in 9.2.2.2 for the certification of the applicant organization?		
	Is the selection of the team performed with reference to the designations of competence of auditors and technical experts made under 7.2.5?		
9.2.2.5	Are the individual(s) who will be conducting the certification decision appointed to ensure appropriate competence is available (see 7.2.9)?		
<b>9.2.3</b>	<b>Initial certification audit</b>		
	Is the initial certification audit of a management system conducted in two stages: stage 1 and stage 2?		
<b>9.2.3.1</b>	<b>Stage 1 audit</b>		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
9.2.3.1.1	Is the stage 1 audit performed		
a)	to audit the client's management system documentation;		
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;		
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;		
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 risks, etc.);		
e)	to review the allocation of resources for stage 2 audit and agree with the client on the details of the stage 2 audit;		
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;		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
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?		
	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.		
9.2.3.1.2	Are Stage 1 audit findings documented and communicated to the client?		
	Do they include identification of any areas of concern that could be classified as nonconformity during the stage 2 audit?		
9.2.3.1.3	In determining the interval between stage 1 and stage 2 audits, is consideration given to the needs of the client to resolve areas of concern identified during the stage 1 audit?		
	The certification body may also need to revise its arrangements for stage 2.		
<b>9.2.3.2</b>	<b>Stage 2 audit</b>		
	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?		
	Does it include at least the following:		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
a)	information and evidence about conformity to all requirements of the applicable management system standard or other normative document;		
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);		
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</b>	<b>Initial certification audit conclusions</b>		
	Does the audit team analyse 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?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
<b>9.2.5</b>	<b>Information for granting initial certification</b>		
9.2.5.1	Does the information provided by the audit team to the certification body for the certification decision include, as a minimum,		
a)	the audit reports,		
b)	comments on the nonconformities and, actions taken by the client, where applicable, the correction and corrective		
c)	confirmation of the information provided to the certification body used in the application review (see 9.2.2), and		
d)	a recommendation whether or not to grant certification, together with any conditions or observations?		
9.2.5.2	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)?		
<b>9.3</b>	<b>Surveillance activities</b>		
<b>9.3.1</b>	<b>General</b>		
9.3.1.1	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?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
9.3.1.2	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?		
	Do other surveillance activities include:		
a)	enquiries from the certification body to the certified client on aspects of certification,		
b)	reviewing any client's statements with respect to its operations (e.g. promotional material, website),		
c)	requests to the client to provide documents and records (on paper or electronic media), and		
d)	other means of monitoring the certified client's performance.		
<b>9.3.2</b>	<b>Surveillance audit</b>		
9.3.2.1	Are surveillance audits 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?		
	Does the surveillance audit programme include, at least:		
a)	internal audits and management review,		
b)	a review of actions taken on nonconformities identified during the previous audit,		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
c)	treatment of complaints,		
d)	effectiveness of the management system with regard to achieving the certified client's objectives,		
e)	progress of planned activities aimed at continual improvement,		
f)	continuing operational control,		
g)	review of any changes, and		
h)	use of marks and/or any other reference to certification?		
9.3.2.2	Are surveillance audits conducted at least once a year?		
	Is the date of the first surveillance audit following initial certification more than 12 months from the last day of the stage 2 audit?		
<b>9.3.3</b>	<b>Maintaining certification</b>		
	Does the certification body maintain certification based on demonstration that the client continues to satisfy the requirements of the management system standard?		
	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		



Clause	Requirement	Comments Manual and/or Procedures reference	Finding
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 whether certification can be maintained, and		
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?		
<b>9.4</b>	<b>Recertification</b>		
<b>9.4.1</b>	<b>Recertification audit planning</b>		
9.4.1.1	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?		
9.4.1.2	Does the recertification audit consider the performance of the management system over the period of certification?		
	Does the recertification audit include the review of previous surveillance audit reports?		
9.4.1.3	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)?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
9.4.1.4	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</b>	<b>Recertification audit</b>		
9.4.2.1	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;		
c)	whether the operation of the certified management system contributes to the achievement of the organization's policy and objectives?		
9.4.2.2	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</b>	<b>Information for granting recertification</b>		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	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</b>	<b>Special audits</b>		
<b>9.5.1</b>	<b>Extensions to scope</b>		
	Does the certification body, in response to an application for extension to 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?		
	This may be conducted in conjunction with a surveillance audit.		
<b>9.5.2</b>	<b>Short-notice audits</b>		
	In the case of short-notice audits does the certification body		
a)	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, and		
b)	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?		
<b>9.6</b>	<b>Suspending, withdrawing or reducing the scope of certification</b>		
9.6.1	Does the certification body have a policy and documented procedure(s) for suspension, withdrawal or reduction of the scope of certification?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	Does the certification body specify the subsequent actions by the certification body?		
9.6.2	Does the certification body suspend certification in cases when, for example,		
	<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> </ul>		
	<ul style="list-style-type: none"> <li>the certified client does not allow surveillance or recertification audits to be conducted at the required frequencies, or</li> </ul>		
	<ul style="list-style-type: none"> <li>the certified client has voluntarily requested a suspension.</li> </ul>		
9.6.3	Does the certification body have enforceable arrangements with its clients to ensure that in case of suspension the client refrains from further promotion of its certification?		
	Does the certification body make the suspended status of the certification publicly accessible (see 8.1.3)?		
	Does the certification body take any other measures it deems appropriate?		
9.6.4	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?		
	NOTE: In most cases the suspension would not exceed 6 months.		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
9.6.5	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 standard used for certification?		
9.6.6	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?		
9.6.7	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</b>	<b>Appeals</b>		
9.7.1	Does the certification body have a documented process to receive, evaluate and make decisions on appeals?		
9.7.2	Is a description of the appeals-handling process publicly accessible.		
9.7.3	Is the certification body responsible for all decisions at all levels of the appeals-handling process?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	Does the 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?		
9.7.4	Does the certification body ensure submission, investigation and decision on appeals do not result in any discriminatory actions against the appellant?		
9.7.5	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?		
9.7.6	Does the certification body acknowledge receipt of the appeal?		
	Does the certification body provide the appellant with progress reports and the outcome?		
9.7.7	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?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
9.7.8	Does the certification body give formal notice to the appellant of the end of the appeals-handling process?		
<b>9.8</b>	<b>Complaints</b>		
9.8.1	Is a description of the complaints-handling process publicly accessible?		
9.8.2	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?		
9.8.3	Is any complaint about a certified client referred by the certification body to the certified client in question at an appropriate time?		
9.8.4	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?		
9.8.5	Does the complaints-handling process include at least the following elements and methods:		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
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;		
b)	tracking and recording complaints, including actions undertaken in response to them;		
c)	ensuring that any appropriate correction and corrective action are taken?		
9.8.6	Is the certification body receiving the complaint responsible for gathering and verifying all necessary information to validate the complaint?		
9.8.7	Whenever possible, does the certification body acknowledge receipt of the complaint?		
	Does the certification body provide the complainant with progress reports and the outcome?		
9.8.8	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?		
9.8.9	Whenever possible, does the certification body give formal notice of the end of the complaints-handling process to the complainant?		
9.8.10	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?		



Clause	Requirement	Comments Manual and/or Procedures reference	Finding
<b>9.9</b>	<b>Records of applicants and clients</b>		
9.9.1	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?		
9.9.2	Do records on certified clients include the following:		
a)	application information and initial, surveillance and recertification audit reports;		
b)	certification agreement;		
c)	justification of the methodology used for sampling;		
d)	justification for auditor time determination (see 9.1.4);		
e)	verification of correction and corrective actions;		
f)	records of complaints and appeals, and any subsequent correction or corrective actions;		
g)	committee deliberations and decisions, if applicable;		
h)	documentation of the certification decisions;		
i)	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?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
9.9.3	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?		
9.9.4	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?		
<b>10</b>	<b>Management system requirements for certification bodies</b>		
<b>10.2</b>	<b>Option 1: Management system requirements in accordance with ISO 9001</b>		
<b>10.2.1</b>	<b>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>Applicant bodies only need to complete one of the two options</b>	
<b>10.2.2</b>	<b>Scope</b>		
	Does the scope of the management system include the design and development requirements for its certification services?		
<b>10.2.3</b>	<b>Customer focus</b>		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	When developing its management system, has the certification body considered the credibility of certification?		
	Has the certification body 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?		
<b>10.2.4</b>	<b>Management review</b>		
	When developing a new management system certification scheme, or adapting an existing one to special circumstances, does the certification body ensure that the guidance given in ISO 19011, and which is appropriate to third-party situations, is included as a design input?		
<b>10.3</b>	<b>Option 2: General management system requirements</b>		
<b>10.3.1</b>	<b>General</b>		
	Has the certification body's top management established and documented policies and objectives for its activities?		
	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?		
	Does the top management ensure that the policies are understood, implemented and maintained at all levels of the certification body's organization?		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	Has the certification body's top management appointed a member of management who, irrespective of other responsibilities, has responsibility and authority that include		
a)	ensuring that processes and procedures needed for the management system are established, implemented and maintained, and		
b)	reporting to top management on the performance of the management system and any need for improvement?		
<b>10.3.2</b>	<b>Management system manual</b>		
	Have all applicable requirements of this International Standard been addressed either in a manual or in associated documents?		
	Does the certification body ensure that the manual and relevant associated documents are accessible to all relevant personnel?		
<b>10.3.3</b>	<b>Control of documents</b>		
	Has the certification body established procedures to control the documents (internal and external) that relate to the fulfilment of this International Standard?		
	Do the procedures define the controls needed to:		
a)	approve documents for adequacy prior to issue,		
b)	review and update as necessary and re-approve documents,		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
c)	ensure that changes and the current revision status of documents are identified,		
d)	ensure that relevant versions of applicable documents are available at points of use,		
e)	ensure that documents remain legible and readily identifiable,		
f)	ensure that documents of external origin are identified and their distribution controlled, and		
g)	prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose?		
<b>10.3.4</b>	<b>Control of records</b>		
	Has the certification body established procedures to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of its records related to the fulfilment of this International Standard?		
	Has the certification body established procedures for retaining records for a period consistent with its contractual and legal obligations?		
	Is access to these records consistent with the confidentiality arrangements?		
<b>10.3.5</b>	<b>Management review</b>		
<b>10.3.5.1</b>	<b>General</b>		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	Has the certification body's top management established procedures to review its management system at planned intervals to ensure its continuing suitability, adequacy and effectiveness, including the stated policies and objectives related to the fulfilment of this International Standard?		
	Are these reviews conducted at least once a year?		
<b>10.3.5.2</b>	<b>Review inputs</b>		
	Does the input to the management review include information related to		
a)	results of internal and external audits,		
b)	feedback from clients and interested parties related to the fulfilment of this International Standard,		
c)	feedback from the committee for safeguarding impartiality,		
d)	the status of preventive and corrective actions,		
e)	follow-up actions from previous management reviews,		
f)	the fulfilment of objectives,		
g)	changes that could affect the management system, and		
h)	appeals and complaints.		
<b>10.3.5.3</b>	<b>Review outputs</b>		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
	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 fulfilment of this International Standard, and		
c)	resource needs?		
<b>10.3.6</b>	<b>Internal audits</b>		
10.3.6.1	Has the certification body established procedures for internal audits to verify that it fulfils the requirements of this International Standard and that the management system is effectively implemented and maintained?		
10.3.6.2	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?		
10.3.6.3	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 this International Standard and has proven stability?		
10.3.6.4	Does the certification body ensure that		

Clause	Requirement	Comments Manual and/or Procedures reference	Finding
a)	internal audits are conducted by qualified personnel knowledgeable in certification, auditing and the requirements of this International Standard,		
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, and		
e)	any opportunities for improvement are identified?		
<b>10.3.7</b>	<b>Corrective actions</b>		
	Has the certification body established procedures for identification and management of nonconformities in its operations?		
	Does the certification body also, where necessary, take actions to eliminate the causes of nonconformities in order to prevent recurrence?		
	Are corrective actions 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,		



Clause	Requirement	Comments Manual and/or Procedures reference	Finding
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, and		
g)	reviewing the effectiveness of corrective actions?		
<b>10.3.8</b>	<b>Preventive actions</b>		
	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,		
c)	determining and implementing the action needed,		
d)	recording the results of actions taken, and		
e)	reviewing the effectiveness of the preventive actions taken?		



## Centre for Global Accreditation

Borsigstr 9, 10115 Berlin, Germany

Web: <http://www.cgaorg.com>