



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

DETAILS OF ORGANISATION (to be filled by Certification Body)

ORGANISATION				
ADDRESS				
CONTACT PERSON				
DATE				
Application for Accreditation	Initial <input type="checkbox"/>	Renewal <input type="checkbox"/>	Extension <input type="checkbox"/>	Others <input type="checkbox"/>
Certification Body Accreditation scheme	Accreditation of Quality Management System certification scheme	ISO/IEC 17021-1/ISO/IEC 17021-3	<input type="checkbox"/>	
	Accreditation of Environment Management System certification scheme	ISO/IEC 17021-1/ISO/IEC 17021-2	<input type="checkbox"/>	
	Accreditation of HACCP system certification scheme	ISO/IEC 17021-1/ISO/TS 22003	<input type="checkbox"/>	
	Accreditation of Food Safety Management System certification scheme	ISO/IEC 17021-1/ISO/TS 22003	<input type="checkbox"/>	
	Accreditation of Information Security Management System certification scheme	ISO/IEC 17021-1/ISO/IEC 27006	<input type="checkbox"/>	
Name of Lead Assessor <i>(For MAURITAS use)</i>				
Name of Technical Assessor(s) <i>(For MAURITAS use)</i>				

NOTE: The purpose of this self-assessment is to encourage the Certification Body to be well-acquainted with its management system and therefore you are kindly requested to fill in and give details with reference to the title of the document, the relevant page number and clause number the requirement has been addressed in the column highlighted in green. This duly filled in checklist needs to be submitted along with MAURITAS Application Form F4.01 as well as application fees.



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OF ISO 17021-1:2015
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Issue No. 2
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F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE		
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				YES	NO	
5	General Requirements					
5.1	Legal and contractual matters					
5.1.1	<u>Legal responsibility</u> Is the certification body a legal entity, or a defined part of a legal entity, that 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.					



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F4.10

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				YES	NO	
5.1.2	<p><u>Certification agreement</u> Does the certification body have a legally enforceable agreement with each client for the provision of certification activities in accordance with the relevant requirements of this part of ISO/IEC 17021-1?</p>					
	<p>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 the client that covers all the sites within the scope of the certification?</p>					



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F4.10

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			YES	NO	
5.1.3	<p><u>Responsibility for certification decisions</u></p> <p>Is the certification body responsible for its decisions relating to certification, including the granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring following suspension, or withdrawing of certification?</p>				



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F4.10

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			YES	NO	
	Does the certification body retain authority for its decision relating to certification, including the granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring following suspension, or withdrawing of certification?				
5.2	Management of impartiality				
5.2.1	Is the certification body responsible for the impartiality of its conformity assessment activities? Does the certification body allow commercial, financial or other pressures to compromise impartiality or ensure that conformity assessment activities are undertaken impartially?				



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F4.10

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			YES	NO	
5.2.2	Does the certification body have a policy 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?				
5.2.3	Does the certification body have a process to identify, analyse, evaluate, treat, monitor and document the risks related to conflict of interests arising from the provision of certification including any conflicts arising from its relationships on an ongoing basis?				
	In the event where any threats to impartiality are identified, does the certification body document and demonstrate how it eliminates such threats and document any residual risk?				



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			YES	NO	
	Does the demonstration cover all potential threats that are identified, whether they arise from within the certification body or from the activities of other persons, bodies or organisations?				
	Does the top management of the certification body review the residual risk to determine if the risk is within the level of acceptable risk?				
	Does the risk assessment process include the identification of and consultation with appropriate interested parties to advise on matters affecting impartiality including openness and public perception?				
	Is the consultation comprised appropriate interested parties which are balanced with no single interest predominating?				



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			YES	NO	
5.2.4	Is there any evidence of the certification body certifying another certification body for its quality management system?				
5.2.5	Does the certification body or any part of the same legal entity and any entity under the organizational control of the certification body (9.5.1.2b) 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 and any entity under the organisational control of the certification body (9.5.1.2b) offer or provide internal audits to its certified clients?				



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			YES	NO	
	The carrying out of internal audits by the certification body and any part of the same legal entity to its certified clients is a significant threat to impartially.				
	Does the certification body certify a management system on which the certification body completed the internal audits less than two years ago?				



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				YES	NO	
5.2.7	Has the certification body certified a management system where there is a relationship between the consultancy organization engaged by the management system and the certification body?					
	Does the certification body certify a management system less than two years following the end of the consultancy? Where a client has received management systems consultancy from a body that has a relationship with a certification body, this is a significant treat to impartiality.					



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OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

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F4.10

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5.2.8	Does the certification body outsource audits to a management system consultancy organization? This does not apply to individuals contracted as auditors covered in 7.3.					



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MANAGEMENT REQUIREMENT**

Issue No. 2
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F4.10

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			YES	NO	
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? Less expensive if the certification body were used?				
	Does the certification body take action to correct inappropriate links or statements by any consultancy organization stating or implying that certification would be simpler, easier, faster or less expensive if the certification body were used?				
	Does the certification body state or imply that certification would be simpler, easier, faster or less expensive if a specified consultancy organization were used?				



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MANAGEMENT REQUIREMENT**

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F4.10

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5.2.10	<p>Does the certification body ensure 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 order to ensure that there is no conflict of interest?</p> <p>A recognised mitigation of this threat is that personnel shall not be used for a minimum of two years following the end of the consultancy.</p>				
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?				



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Issue No. 2
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5.2.13	Does the certification body require personnel, both internal and external, to reveal any situation known to them that can present them or the certification body with a conflict of interests?				
	Does the certification body record and use this information as input to identifying threats to impartiality raised by the activities of such personnel or by the organizations that employ them?				
	Does the certification body use personnel, either internal or external, that cannot demonstrate that there is no conflict of interests?				
5.3	Liability and financing				



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OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

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			YES	NO	
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?				



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OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
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F4.10

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5.3.2	Does the certification body evaluate its finances and sources of income and demonstrate that initially, and on an ongoing basis, commercial, financial or other pressures do not compromise its impartiality?					
6	Structural requirements					
6.1	Organisational structure and top management					



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			YES	NO	
6.1.1	Has the certification body documented its organizational structure, duties, responsibilities and authorities of management and other personnel involved in certification 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?				



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MANAGEMENT REQUIREMENT**

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F4.10

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			YES	NO	
6.1.2	Are the certification activities structured and managed so as to safeguard impartiality?				
6.1.3 (a)	Has the certification body identified the top management (board, group of persons, or person) having overall authority and responsibility for each of the following: development of policies and establishment of processes and procedures relating to its operations				



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OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
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				YES	NO	
(b)	supervision of the implementation of the policies, processes and procedures;					
(c)	ensuring impartiality;					
(d)	supervision of the finances of the body;					



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OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
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F4.10

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(e)	development of management system certification services and schemes;					
(f)	performance of audits and certification, and responsiveness to complaints;					
(g)	decisions on certification;					



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(h)	delegation of authority to committees or individuals, as required, to undertake defined activities on its behalf;					
(i)	contractual arrangements;					



**SELF-ASSESSMENT/DOCUMENT REVIEW
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MANAGEMENT REQUIREMENT**

Issue No. 2
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F4.10

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			YES	NO	
(j)	provision of adequate resources for certification activities;				
6.1.4	Does the certification body have formal rules for the appointment, terms of reference and operation of committees involved in the certification activities?				
6.2	Operational control				



**SELF-ASSESSMENT/DOCUMENT REVIEW
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MANAGEMENT REQUIREMENT**

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F4.10

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6.2.1	Does the certification body have a process for effective control of certification activities delivered by branch offices, partnerships, agents, franchisees, etc, irrespective of their legal status, relationship or geographical location?				
	Does the certification body consider the risk that the certification activities pose to the competence, consistency and impartiality of the certification body?				



**SELF-ASSESSMENT/DOCUMENT REVIEW
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MANAGEMENT REQUIREMENT**

Issue No. 2
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6.2.2	Does the certification body consider the appropriate level and method of control of activities undertaken including its processes, technical areas of certification bodies' operations, competence of personnel, lines of management control, reporting and remote access to operations including records?				
8	Information Requirements				
8.1	Public Information				



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8.1.1 (a)	Does the certification body maintain (through publications, electronic media or other means), and make public, without request, in all geographical areas in which it operates, information about : audit processes?					
(b)	processes for granting, refusing, maintaining, renewing, suspending, restoring or withdrawing certification, or expanding or reducing the scope of certification?					
(c)	types of management systems and certification schemes in which it operates?					
(d)	the use of the certification body's name and certification mark or logo?					



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MANAGEMENT REQUIREMENT**

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(e)	processes for handling requests for information, complaints and appeals?					
(f)	policy on impartiality?					
8.1.2	Does the certification body provide upon request information about:					
(a)	geographical areas in which it operates?					
(b)	the status of a given certification?					



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(c)	the name, related normative document, scope and geographical location (city and country) for a specified client?					
8.1.3	Does the certification body provide information to any client or to the marketplace, including advertising, which is accurate and not misleading?					
8.2	Certification documents					
8.2.1	How does the certification body provide (by any means it chooses) certification documents to the certified client?					



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8.2.1	Do the certification document(s) identify the following:				
(a)	the name and geographic location of each certified client (or the geographic location of the headquarters and any sites within the scope of a multi-site certification)?				
(b)	the effective date of granting, expanding or reducing the scope of certification or renewing certification which shall not be before the date of the relevant certification decision?				
(c)	the expiry date or recertification due date consistent with the recertification cycle?				



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(d)	a unique identification code?					
(e)	the management system standard and/or other normative document, including indication of issue status (e.g. revision date or number) used for audit of the certified client?					
(f)	the scope of certification with respect to the type of activities, product and service, process, as applicable at each site without being misleading or ambiguous?					
(g)	the name, address and certification mark of the certification body; other marks (e.g. accreditation symbol client's logo) may be used provided they are not misleading or ambiguous?					
(h)	any other information required by the standard and/or other normative document used for certification?					



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(i)	in the event of issuing any revised certification documents, a means to distinguish the revised documents from any prior obsolete documents?				
8.3	Reference to certification and use of marks				
8.3.1	Does the certification body have rules governing any management system certification mark that it authorizes certified clients to use?				
	Do these rules ensure, among other things, traceability back to the certification body?				
	How does the certification body ensure that there is no ambiguity, in the mark or accompanying text, as to what has been certified and which certification body				



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	has granted the certification?				
8.3.2	Does the certification body permit its marks to be applied by certified clients to laboratory test, calibration or inspection reports or certificates?				
8.3.3	Does the certification body have rules governing the use of any statement on product packaging or in accompanying information that the certified client has a certified management system? (Product packaging is considered as that which can be removed without the product disintegrating or being damaged. Accompanying information is considered as separately available or easily detachable. Type labels or identification plates are considered as part of the product.) Does the statement imply that the product, process or				



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MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE		
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)		COMPLIANCE		MAURITAS REVIEW COMMENTS
				YES	NO	
	service is certified by this means?					
	Does the statement include reference to: <ul style="list-style-type: none"> • identification (e.g. brand or name) of the certified client? • the type of management system (e.g. quality, environment) and the applicable standard? • the certification body issuing the certificate? 					



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY	FOR MAURITAS USE		
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
8.3.4	Does the certification body, through legally enforceable arrangements, require that the client:				
(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?				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE	
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
(d)	upon withdrawal of its certification, discontinues its use of all advertising matter that contains a reference to certification, as directed by the certification body (see 9.6.5)?				
(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				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE	
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
(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?				
8.3.5	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?				
8.4	Confidentiality				
8.4.1	Is the certification body responsible, through legally enforceable agreements, for the management of all information obtained or created during the performance of certification activities at all levels of its structure, including committees and external bodies or individuals acting on its behalf?				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE	
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
8.4.2	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?				
8.4.3	Except as required in this ISO/IEC 17021, is information about a particular certified client or individual disclosed to a third party without the written consent of the certified client or individual concerned?				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE	
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
8.4.4	When the certification body is required by law or authorized by contractual arrangement (such as with the accreditation body) to release confidential information, is the client or individual concerned, unless prohibited by law, notified of the information provided?				
8.4.5	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?				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE	
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
8.4.6	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 except as required by law?				
8.4.7	Does the certification body have processes and where applicable equipment and facilities that ensure the secure handling of confidential information?				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE	
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
8.5	Information exchange between a certification body and its clients				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE		
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)		COMPLIANCE		MAURITAS REVIEW COMMENTS
				YES	NO	
8.5.1	<p><u>Information on the certification activity and requirements.</u></p> <p>Does the certification body provide and update clients on the following:</p> <p>(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?</p>					
(b)	the normative requirements for certification?					



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE	
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
(c)	information about the fees for application, initial certification and continuing certification?				
(d)	the certification body's requirements for prospective clients to				
(1)	comply with certification requirements?				
(2)	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?				
(3)	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				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE	
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
	kind in line with the requirements in 8.4?				
(f)	information on procedures for handling complaints and appeals?				
8.5.2	<u>Notice of changes by a certification body</u> Does the certification body give its certified clients due notice of any changes to its requirements for certification?				
	Does the certification body I verify that each certified client complies with the new requirements?				
8.5.3	<u>Notice of changes by a client</u>				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE	
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
	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?				
(a)	Do these include, for example, changes relating to: the legal, commercial, organizational status or ownership?				
(b)	organization and management (e.g. key managerial, decision-making or technical staff)?				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE		
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)		COMPLIANCE		MAURITAS REVIEW COMMENTS
				YES	NO	
(c)	contact address and sites?					
(d)	scope of operations under the certified management system?					
(e)	major changes to the management system and processes?					
10	Management systems requirements for certification					



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY	FOR MAURITAS USE		
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
	bodies				
10.1	Options				
	Does the certification body establish, document, implement and maintain a management system that is capable of supporting and demonstrating the consistent achievement of the requirements of this part of the ISO/IEC 17021?				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE	
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
(a)	<p>In addition to meeting the requirements of Clause 5 to 9, does the certification body implement a management system in accordance with either:</p> <p>General management system requirements (see 10.2)</p>				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE	
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
(b)	Management system requirements in accordance with ISO 9001 (see 10.3)?				
10.2	Option A : General management system requirements				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE	
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
10.2.1	<p>General 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 part of ISO/IEC 17021</p>				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE	
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
	Does the top management ensure that the policies are understood, implemented and maintained at all levels of the certification body's organization?				
(a)	Has the certification body's top management, assigned responsibility and authority for: ensuring that processes and procedures needed for the management system are established, implemented and maintained				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE		
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)		COMPLIANCE		MAURITAS REVIEW COMMENTS
				YES	NO	
(b)	Reporting to top management on the performance of the management system and any need for improvement?					
10.2.2	<u>Management system manual</u> Have all applicable requirements of this part of ISO/IEC 17021 been addressed either in a manual or in associated documents?					



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE	
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
	Does the certification body ensure that the manual and relevant associated documents are accessible to all relevant personnel?				
10.2.3	<u>Control of documents</u> Has the certification body established procedures to control the documents (internal and external) that relate to the fulfillment of this part of ISO/IEC 17021?				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE		
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)		COMPLIANCE		MAURITAS REVIEW COMMENTS
				YES	NO	
(a)	Do the procedures define the controls needed to: approve documents for adequacy prior to issue?					
(b)	review and update where necessary and re-approve documents?					



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE		
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)		COMPLIANCE		MAURITAS REVIEW COMMENTS
				YES	NO	
(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?					



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE		
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)		COMPLIANCE		MAURITAS REVIEW COMMENTS
				YES	NO	
(e)	ensure that documents remain legible and readily identifiable?					
(f)	ensure that documents of external origin are identified and their distribution controlled, and					



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE	
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
(g)	Prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose?				
10.2.4	<u>Control of records</u> 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 part of ISO/IEC 17021?				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE	
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
	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?				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE	
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
10.2.5	Management review				
10.2.5.1	General 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 part of ISO/IEC 17021? Are these reviews conducted at least once a year?				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE	
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
10.2.5.2 (a)	Review inputs Does the input to the management review include information related to : results of internal and external audits?				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE		
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)		COMPLIANCE		MAURITAS REVIEW COMMENTS
				YES	NO	
(b)	feedback from clients and interested parties?					
(c)	safeguarding impartiality?					



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE		
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)		COMPLIANCE		MAURITAS REVIEW COMMENTS
				YES	NO	
(d)	the status of corrective actions?					
(e)	the status of actions to address risks?					



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE		
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)		COMPLIANCE		MAURITAS REVIEW COMMENTS
				YES	NO	
(f)	follow-up actions from previous management reviews?					
(g)	the fulfilment of objectives?					



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE	
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
(h)	changes that could affect the management system; and				
(i)	Appeals and complaints?				
10.2.5.3	Review outputs 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?				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE		
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)		COMPLIANCE		MAURITAS REVIEW COMMENTS
				YES	NO	
(b)	improvement of the certification services related to the fulfilment of this part of ISO/IEC 17021?					
(c)	resource needs?					
(d)	revision of the organisation's policy and objectives?					



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE	
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
10.2.6	Internal audits				
10.2.6.1	Has the certification body established procedures for internal audits to verify that it fulfils the requirements of this part of ISO/IEC 17021 and that the management system is effectively implemented and maintained?				
10.2.6.2	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?				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE	
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
10.2.6.3	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?				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

CLAUSE	REQUIREMENTS	TO BE FILLED BY CERTIFICATION BODY		FOR MAURITAS USE		
		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)		COMPLIANCE		MAURITAS REVIEW COMMENTS
				YES	NO	
10.2.6.4	Does the certification body ensure that:					
(a)	internal audits are conducted by competent personnel knowledgeable in certification, auditing and the requirements of this part of ISO/IEC 17021?					
(b)	auditors do not audit their own work?					



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

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		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)	COMPLIANCE		MAURITAS REVIEW COMMENTS
			YES	NO	
(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?				



**SELF-ASSESSMENT/DOCUMENT REVIEW
OF ISO 17021-1:2015
MANAGEMENT REQUIREMENT**

Issue No. 2
Date: May 2018

F4.10

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		CERTIFICATION BODY TO INDICATE WHERE THE REQUIREMENT HAS BEEN ADDRESSED (GIVING DETAILS OF DOCUMENT REFERENCE, PAGE NUMBER AND CLAUSE NUMBER)		COMPLIANCE		MAURITAS REVIEW COMMENTS
				YES	NO	
(e)	Any opportunities for improvement are identified?					
(f)	Reviewing the effectiveness of corrective actions?					
10.3	Option B: Management system requirements in accordance with ISO 9001					



**SELF-ASSESSMENT/DOCUMENT REVIEW
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Issue No. 2
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F4.10

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			YES	NO	
10.3.1	<p>General</p> <p>Has the certification body established and maintained a management system, in accordance with the requirements of ISO 9001, which is capable of supporting and demonstrating the consistent achievement of the requirements of this part of ISO/IEC 17021 amplified by 10.3.2 to 10.3.4?</p>				
10.3.2	<p>Scope</p> <p>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?</p>				



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Issue No. 2
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F4.10

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				YES	NO	
10.3.3	<p>Customer focus When developing its management system, has the certification body considered the credibility of certification for application of the requirements of ISO 9001?</p>					
	<p>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?</p>					




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Issue No. 2
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F4.10

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				YES	NO	
10.3.4	<p><u>Management Review</u> Does the certification body include as input for management review, information on relevant appeals and complaints from users of certification activities and a review of impartiality for application of the requirements of ISO 9001?</p>					

Other Remarks:

	<p align="center">SELF-ASSESSMENT/DOCUMENT REVIEW OF ISO 17021-1:2015 MANAGEMENT REQUIREMENT</p>	<p>Issue No. 2 Date: May 2018</p>	<p align="center">F4.10</p>
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Conclusion: (shall include if any pre-assessment shall take place or any assessment as the case may be)

Remarks from Lead assessor/Technical assessor/expert:

.....
Date

.....
Signature (Lead Assessor)