



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

Issue No. 2  
Date: May 2018

**F4.11**

**DETAILS OF ORGANISATION *(to be filled by Certification Body)***

|  |  |                                  |  |
|--|--|----------------------------------|--|
| <b>ORGANISATION</b>  |  |                                  |  |
| <b>ADDRESS</b>   |  |                                  |  |
| <b>CONTACT PERSON</b>  |  |                                  |  |
| <b>DATE</b>  |  |                                  |  |
| <b>Application for Accreditation</b>                           | Initial <input type="checkbox"/>   | Renewal <input type="checkbox"/> | Extension <input type="checkbox"/> Others <input type="checkbox"/> |
| <b>Certification Body Accreditation scheme</b>                 | 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"/>   |
| <b>Name of Lead Assessor</b><br><i>(For MAURITAS use)</i>      |  |                                  |  |
| <b>Name of Technical Assessor(s)</b> <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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|              |   |   | YES        | NO               |                          |
| <b>7</b>     | <b>Resource requirements</b>  |   |            |                  |                          |
| <b>7.1</b>   | <b>Competence of management and personnel</b>   |   |            |                  |                          |
| <b>7.1.1</b> | <p><b><u>General considerations</u></b><br/>Does the certification body have processes to ensure that personnel have appropriate knowledge and skills relevant to the types of management systems (e.g. environmental management systems, quality management systems, information security management systems) and geographic areas in which it operates?</p>   |   |            |                  |                          |
| <b>7.1.2</b> | <p><b><u>Determination of competence criteria</u></b><br/>Does the certification body have a process for determining the competence criteria for personnel involved in the management and performance of audits and certification activities?</p> <p>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?</p> |   |            |                  |                          |



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|              |  |   | YES        | NO               |                          |
|              | <p>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?</p> <p>Does the certification body apply the knowledge and skills for specific functions defined in Annex A?</p> <p>Does the certification body apply any additional specific competence criteria where they have been established for a specific standard or certification scheme (e.g. ISO/IEC TS 17021-2, ISO/IEC TS 17021-3 OR ISO/TS 22003)?</p> |   |            |                  |                          |
| <b>7.1.3</b> | <p><b><u>Evaluation processes</u></b></p> <p>Does the certification body have documented processes for the initial competence evaluation, and on-going monitoring of competence and performance of all personnel involved in the management and performance of audits and other certification activities,</p>  |   |            |                  |                          |



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|        |  |   | YES        | NO               |                          |
|        | <p>applying the determined competence criteria?<br/>Is the certification body able to demonstrate that its evaluation methods are effective?</p> <p>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?</p> <p>Is competence demonstrated by the individual prior to taking up the responsibility for the performance of their activities within the certification body?</p> |   |            |                  |                          |
| 7.1.4  | <p><b><u>Other considerations</u></b></p> <p>Does the certification body have access to the necessary technical expertise for advice on matters directly relating to certification for technical areas, types of management system and geographic areas in which the certification body operates? Such advice may be provided externally or by certification body personnel.</p>   |   |            |                  |                          |



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|              |  |   | YES        | NO               |                          |
| <b>7.2</b>   | <b>Personnel involved in certification activities</b>  |   |            |                  |                          |
| <b>7.2.1</b> | Does the certification body have sufficient, competent personnel for managing and supporting the type and range of audit programmes and other certification work performed?  |   |            |                  |                          |
| <b>7.2.2</b> | Does the certification body employ, or have access to, a sufficient number of auditors, including audit team leaders, and technical experts to cover all of its activities and to handle the volume of audit work performed? |   |            |                  |                          |
| <b>7.2.3</b> | Does the certification body make clear to each person concerned their duties, responsibilities and authorities?  |   |            |                  |                          |
| <b>7.2.4</b> | Does the certification body have processes for selecting, training, formally authorizing auditors and for selecting and familiarizing technical experts used in the certification activity?                                  |   |            |                  |                          |



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|        |  |   | YES        | NO               |                          |
|        | Does the initial competence evaluation of an auditor include the ability to apply required knowledge and skills during audits, as determined by a competent evaluator observing the auditor conducting an audit?   |   |            |                  |                          |
| 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?<br><br>Does the certification body give auditors and technical                           |   |            |                  |                          |



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|        |  |   | YES        | NO               |                          |
|        | 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 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?  |   |            |                  |                          |
| 7.2.8  | Does the group or individual that takes the decision on granting, refusing, maintaining, renewing, suspending, restoring, or withdrawing certification, or on expanding or reducing the scope of certification understand the applicable standard and certification requirements, and<br><br>have demonstrated competence to evaluate the outcomes of the audit processes including related recommendations of the audit team? |   |            |                  |                          |
| 7.2.9  | Does the certification body ensure the satisfactory performance of all personnel involved in the audit and   |   |            |                  |                          |





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|               |  |   | YES        | NO               |                          |
|               | <p>other certification activities?</p> <p>Is there a documented process for monitoring competence and performance of all persons involved, based on the frequency of their usage and the level of risk linked to their activities?</p> <p>Does the certification body review and record the competence of its personnel in the light of their performance in order to identify training needs?</p> |   |            |                  |                          |
| <b>7.2.10</b> | <p>Does the certification body monitor each auditor considering each type of management system to which the auditor is deemed competent?</p> <p>Does the documented monitoring process for auditors include a combination of on-site observation, review of audit reports and feedback from clients or from the</p>  |   |            |                  |                          |





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|               |   |   | YES        | NO               |                          |
|               | market?<br><br>Is the monitoring designed in such a way as to minimize disturbance to the normal processes of certification, especially from the client's viewpoint?  |   |            |                  |                          |
| <b>7.2.11</b> | Does the certification body periodically evaluate the performance of each auditor on-site?<br><br>Is the frequency of on-site evaluations based on the need determined from all monitoring information available? |   |            |                  |                          |
| <b>7.3</b>    | <b>Use of individual external auditors external technical experts</b>   |   |            |                  |                          |



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|            |   |   | YES        | NO               |                          |
|            | <p>Does the certification body require external auditors and external technical experts to have a written agreement by which they commit themselves to comply with applicable policies and implement processes as defined by the certification body?</p> <p>Does the agreement address aspects relating to confidentiality and impartiality?</p> <p>Does the agreement require the external auditors and external technical experts to notify the certification body of any existing or prior relationship with any organization they may be assigned to audit?</p> |   |            |                  |                          |
| <b>7.4</b> | <b>Personnel records</b>  |   |            |                  |                          |
|            | <p>Does the certification body maintain up-to-date personnel records, including relevant qualifications, training, experience, affiliations, professional status and competence?</p> <p>Do the personnel records also include management and administrative personnel in addition to those performing certification activities?</p>   |   |            |                  |                          |
| <b>7.5</b> | <b>Outsourcing</b>  |   |            |                  |                          |



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|        |  |   | YES        | NO               |                          |
| 7.5.1  | <p>Does the certification body have a process in which it describes the conditions under which outsourcing (which is subcontracting to another organization to provide part of the certification activities on behalf of the certification body) may take place?</p> <p>Does the certification body have a legally enforceable agreement covering the arrangements, including confidentiality and conflict of interests, with each body that provides outsourced services?</p> |   |            |                  |                          |
| 7.5.2  | How does the certification body ensure that the decisions for granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring or withdrawing of certification are not outsourced?  |   |            |                  |                          |
| 7.5.3  | Does the certification body:   |   |            |                  |                          |
| (a)    | take responsibility for all activities outsourced to another body?   |   |            |                  |                          |



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|        |  |   | YES        | NO               |                          |
| (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 part of ISO/IEC 17021, including competence, impartiality and confidentiality? |   |            |                  |                          |
| (c)    | ensure that the body that provides outsourced services, and the individuals that it uses, are not involved, either directly or through any other employer, with an organization to be audited, in such a way that impartiality could be compromised?                     |   |            |                  |                          |
| 7.5.4  | Does the certification body have a process for the approval and monitoring of all bodies that provide outsourced services used for certification activities?   |   |            |                  |                          |



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|              |  |   | YES        | NO               |                          |
|              | Does the certification body ensure that records of the competence of all personnel involved in certification activities are maintained?  |   |            |                  |                          |
| <b>9</b>     | <b>Process requirements</b>  |   |            |                  |                          |
| <b>9.1</b>   | <b>Pre-certification activities</b>  |   |            |                  |                          |
| <b>9.1.1</b> | <b><u>Application</u></b>  |   |            |                  |                          |
| <b>(a)</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:<br>the desired scope of the certification?          |   |            |                  |                          |
| <b>(b)</b>   | relevant details of the applicant organization, including its name and the address(es) of its site(s), its processes and operations, human and technical resources, functions, relationships and any relevant legal obligations? |   |            |                  |                          |
| <b>(c)</b>   | identification of outsourced processes used by the   |   |            |                  |                          |



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|                |   |   |  | YES              | NO |                          |
|                | organization that will affect conformity to requirements?   |   |  |                  |    |                          |
| (d)            | the standards or other requirements for which the applicant organization is seeking certification?                                  |   |  |                  |    |                          |
| (e)            | whether consultancy relating to the management system to be certified has been provided and if so, by whom?                         |   |  |                  |    |                          |
| <b>9.1.2</b>   | <b><u>Application review</u></b>  |   |  |                  |    |                          |
| <b>9.1.2.1</b> | 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 to develop an audit programme (see 9.1.3)? |   |  |                  |    |                          |
| (b)            | any known difference in understanding between the certification body and the applicant organization is resolved?                    |   |  |                  |    |                          |
| (c)            | the certification body has the competence and ability to perform the certification activity?  |   |  |                  |    |                          |



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| (d)     | the scope of certification sought, the site(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.)?   |   |            |                  |                          |
| 9.1.2.2 | Following the review of the application, does the certification body either accept or decline an application for certification?<br>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? |   |            |                  |                          |
| 9.1.2.3 | Based on this review, does the certification body determine the competences it needs to include in its audit team and for the certification decision?  |   |            |                  |                          |





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|                  |  |   | YES        | NO               |                          |
| 9.1.3<br>9.1.3.1 | <p><b><u>Audit Program</u></b></p> <p>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)?</p> <p>Does the audit programme cover the complete management system requirements?</p>                    |   |            |                  |                          |
| 9.1.3.2          | <p>Does the audit programme for the initial certification include a two-stage initial audit, surveillance audits in the first and second years, following the certification decision and a recertification audit in the third year prior to expiration of certification?</p> <p>Does the first three-year certification cycle begin with the certification decision and subsequent cycles begin with the recertification decision (see 9.6.3.2.3)?</p> |   |            |                  |                          |



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|                | Does the certification body consider the size of the client, the scope and complexity of its management system, products and processes as well as demonstrated level of management system effectiveness and the results of any previous audits when determining the audit programme and any subsequent adjustments?  |   |            |                  |                          |
| <b>9.1.3.3</b> | Are surveillance audits conducted at least once a calendar year except in recertification years?<br>Is the date of the first surveillance audit following initial certification not more than 12 months from the certification decision date?  |   |            |                  |                          |
| <b>9.1.3.4</b> | Where the certification body is taking account of certification already granted to the client and to audits performed by another certification body, does it obtain and retain sufficient evidence, such as reports and documentation on corrective actions, to any nonconformity?<br><br>Does the documentation support the fulfilling of the requirements in this part of ISO/IEC 17021? |   |            |                  |                          |



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|                  |  |   | YES        | NO               |                          |
|                  | Does the certification body, based on the information obtained, justify and record any adjustments to the existing audit programme and follow up the implementation of corrective actions concerning previous non-conformities?  |   |            |                  |                          |
| 9.1.3.5          | Does the certification body consider, where the client operates shifts, the activities that take place during shift working when developing the audit programme and audit plans?   |   |            |                  |                          |
| 9.1.4<br>9.1.4.1 | <b><u>Determining audit time</u></b><br>Does the certification body have documented procedures for determining audit time?<br><br>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? |   |            |                  |                          |



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| <b>9.1.4.2</b> | In determining the audit time, does the certification body consider, among other things, the following aspects: |   |            |                  |                          |
| <b>(a)</b>     | the requirements of the relevant management system standard?  |   |            |                  |                          |
| <b>(b)</b>     | complexity of the client and its management system?   |   |            |                  |                          |
| <b>(c)</b>     | technological and regulatory context?   |   |            |                  |                          |
| <b>(d)</b>     | any outsourcing of any activities included in the scope of the management system?                               |   |            |                  |                          |
| <b>(e)</b>     | the results of any prior audits?  |   |            |                  |                          |
| <b>(f)</b>     | size and number of sites, their geographical locations and multi-site considerations?                           |   |            |                  |                          |
| <b>(g)</b>     | the risks associated with the products, processes or activities of the organization?                            |   |            |                  |                          |
| <b>(h)</b>     | whether audits are combined, joint or integrated?   |   |            |                  |                          |



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|         |   |   | YES        | NO               |                          |
| 9.1.4.2 | 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?  |   |            |                  |                          |
| 9.1.4.3 | Is the duration of the management system audit and its justification recorded?  |   |            |                  |                          |
| 9.1.4.4 | 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?<br>The use of translators, interpreters can necessitate additional time.   |   |            |                  |                          |
| 9.1.5   | <b><u>Multi-site sampling</u></b><br>Where multi-site sampling is used for the audit of a client's management system covering the same activity in various geographical locations, does the certification body develop a sampling programme to ensure proper audit of the management system?<br>Is the rationale for the sampling plan documented for |   |            |                  |                          |



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|              |  |   | YES        | NO               |                          |
|              | <p>each client?</p> <p>Does the certification body apply specific criteria established for specific certification scheme, e.g. ISO/TS 22003, when sampling is not allowed for some specific certification schemes?</p>   |   |            |                  |                          |
| <b>9.1.6</b> | <p><b><u>Multiple management systems standards</u></b></p> <p>When certification to multiple management system standards is being provided by the certification body, does the planning for the audit ensure adequate on-site auditing to provide confidence in the certification?</p> |   |            |                  |                          |
| <b>9.2</b>   | <b>Planning Audits</b>   |   |            |                  |                          |



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|                |   |   | YES        | NO               |                          |
| <b>9.2.1</b>   | <b><u>Determining Audit objectives scope and criteria</u></b>   |   |            |                  |                          |
| <b>9.2.1.1</b> | Does the certification body determine the audit objectives?<br><br>Does the certification body establish the audit scope and criteria, including any changes, after discussion with the client? |   |            |                  |                          |
| <b>9.2.1.2</b> | Do the audit objectives describe what is to be accomplished by the audit and include the following:   |   |            |                  |                          |
| <b>(a)</b>     | determination of the conformity of the client's management system, or parts of it, with audit criteria?   |   |            |                  |                          |
| <b>(b)</b>     | determination of the ability of the management system to ensure the client organization meets applicable statutory, regulatory and contractual requirements?                                    |   |            |                  |                          |
| <b>(c)</b>     | determination of the effectiveness of the management system to ensure the client can reasonably expect to achieving its specified objectives?   |   |            |                  |                          |





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|         |   |   | YES        | NO               |                          |
| (d)     | as applicable, identification of areas for potential improvement of the management system?  |   |            |                  |                          |
| 9.2.1.3 | <p>Does the audit scope describe the extent and boundaries of the audit, such as sites, organizational units, activities and processes to be audited?</p> <p>Where the initial or re-certification process consists of more than one audit (e.g. covering different sites), the scope of an individual audit not cover the full certification scope, does the totality of audits consistent with the scope in the certification document?</p> |   |            |                  |                          |
| 9.2.1.4 | <p>Is the audit criteria used as a reference against which conformity is determined, and does it include:</p> <ul style="list-style-type: none"> <li>the requirements of a defined normative document on management systems?</li> </ul>   |   |            |                  |                          |



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|  |   |   | YES        | NO               |                          |
|  | <ul style="list-style-type: none"> <li>the defined processes and documentation of the management system developed by the client?</li> </ul>   |   |            |                  |                          |
| <b>9.2.2</b><br><b>9.2.2.1</b><br><b>9.2.2.1.1</b> | <p><b><u>Audit team selection and assignments</u></b></p> <p><b>General</b></p> <p>Does the certification body have a process for selecting and appointing the audit team, including the audit team leader and technical experts as necessary, taking into account the competence needed to achieve the objectives of the audit and the requirements for impartiality?</p> <p>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?</p> <p>Does the audit team have the totality of the competences identified by the certification body as set</p> |   |            |                  |                          |



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|                  |  |   | YES        | NO               |                          |
|                  | out in 9.1.2.3 for the audit?  |   |            |                  |                          |
| <b>9.2.2.1.2</b> | In deciding the size and composition of the audit team, does the certification body give consideration to the following: |   |            |                  |                          |
| <b>(a)</b>       | audit objectives, scope, criteria and estimated audit times?   |   |            |                  |                          |
| <b>(b)</b>       | whether the audit is a combined, joint or integrated?  |   |            |                  |                          |
| <b>(c)</b>       | the overall competence of the audit team needed to achieve the objectives of the audit (see table A.1)?                  |   |            |                  |                          |
| <b>(d)</b>       | certification requirements (including any applicable statutory, regulatory or contractual requirements)?                 |   |            |                  |                          |
| <b>(e)</b>       | language and culture.  |   |            |                  |                          |
| <b>9.2.2.1.3</b> | Is the necessary knowledge and skills of the audit team leader and auditors supplemented by technical                    |   |            |                  |                          |



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|                  |   |   | YES        | NO               |                          |
|                  | <p>experts, translators and interpreters?</p> <p>Do these team members operate under the direction of an auditor?</p> <p>Are translators or interpreters selected such that they do not unduly influence the audit?</p>   |   |            |                  |                          |
| <b>9.2.2.1.4</b> | <p>Are there auditors-in-training participating in the audit, provided an auditor is appointed as an evaluator?</p> <p>Is the evaluator competent to take over the duties and have final responsibility for the activities and findings of the auditor-in-training?</p> |   |            |                  |                          |
| <b>9.2.2.1.5</b> | <p>Does the audit team leader, in consultation with the audit team, assign to each team member responsibility for auditing specific processes, functions, sites, areas</p>  |   |            |                  |                          |



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|        |  |   | YES        | NO               |                          |
|        | <p>or activities?</p> <p>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?</p> <p>Changes to the work assignments may be made as the audit progresses to ensure achievement of the audit objectives.</p> |   |            |                  |                          |



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|                      |   |   | YES        | NO               |                          |
| 9.2.2.2<br>9.2.2.2.1 | <p><b>Observers, technical experts and guides</b><br/><b>Observers:</b><br/>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?</p> <p>Does the audit team ensure that observers do not unduly influence or interfere in the audit process or outcome of the audit?</p> |   |            |                  |                          |
| 9.2.2.2.2            | <p><b>Technical experts:</b><br/>Is the role of technical experts during an audit activity agreed to by the certification body and client prior to the conduct of the audit?</p> <p>Does the technical expert not act as an auditor in the audit team?</p> <p>Are the technical experts accompanied by an auditor?</p>  |   |            |                  |                          |



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|                  |   |   | YES        | NO               |                          |
| 9.2.2.2.3        | <p><b>Guides</b></p> <p>Is each auditor accompanied by a guide, unless otherwise agreed to by the audit team leader and the client?</p> <p>Guide(s) are assigned to the audit team to facilitate the audit.</p> <p>Does the audit team ensure that guides do not influence or interfere in the audit process or outcome of the audit?</p> |   |            |                  |                          |
| 9.2.3<br>9.2.3.1 | <p><b><u>Audit plan</u></b></p> <p><b>General</b></p> <p>Does the certification body ensure that an audit plan is established prior to each audit identified in the audit programme to provide the basis for agreement regarding the conduct and scheduling of the audit activities?</p>  |   |            |                  |                          |





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|                |   |   |  | YES              | NO |                          |
| <b>9.2.3.2</b> | <b>Preparing the audit plan</b><br>Is the audit plan appropriate to the objectives and the scope of the audit?<br><br>Does the audit plan include or refer to at least the following: |   |  |                  |    |                          |
| <b>(a)</b>     | the audit objectives?   |   |  |                  |    |                          |
| <b>(b)</b>     | the audit criteria?   |   |  |                  |    |                          |
| <b>(c)</b>     | the audit scope, including identification of the organizational and functional units or processes to be audited?  |   |  |                  |    |                          |
| <b>(d)</b>     | the dates and sites where the on-site audit activities are to be conducted, including visits to temporary sites and remote auditing activities, where appropriate?                    |   |  |                  |    |                          |
| <b>(e)</b>     | the expected duration of on-site audit activities?  |   |  |                  |    |                          |



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|                |   |   | YES        | NO               |                          |
| (f)            | the roles and responsibilities of the audit team members and accompanying persons, such as observers or interpreters?   |   |            |                  |                          |
| <b>9.2.3.3</b> | <b>Communication of audit team tasks</b><br>Are the tasks given to the audit team defined and required the audit team to:   |   |            |                  |                          |
| (a)            | examine and verify the structure, policies, processes, procedures, records and related documents of the client 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? |   |            |                  |                          |
| (d)            | communicate to the client, for its action, any inconsistencies between the client's policy, objectives and targets?   |   |            |                  |                          |



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|                |   |   | YES        | NO               |                          |
|                |   |   |            |                  |                          |
| <b>9.2.3.3</b> | <b>Communication of audit team tasks</b><br>Are the tasks given to the audit team defined? and required the audit team to:  |   |            |                  |                          |
| (a)            | examine and verify the structure, policies, processes, procedures, records and related documents of the client 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?   |   |            |                  |                          |
| <b>9.2.3.4</b> | <b>Communication of audit plan</b><br>Is the audit plan communicated and the dates of the audit agreed upon, in advance, with the client?                                     |   |            |                  |                          |



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|                  |   |   | YES        | NO               |                          |
| 9.2.3.5          | <b>Communication concerning audit team members</b><br>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 to object to the appointment of any particular audit team member and for the certification body to reconstitute the team in response to any valid objection? |   |            |                  |                          |
| 9.3              | <b>Initial certification</b>  |   |            |                  |                          |
| 9.3.1<br>9.3.1.1 | <u>Initial certification audit</u><br><b>General</b><br>Is the initial certification audit of a management system conducted in two stages: stage 1 and stage 2?   |   |            |                  |                          |



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|                      |   |   | YES        | NO               |                          |
| 9.3.1.2<br>9.3.2.2.1 | <p><b>Stage 1</b></p> <p>Does the planning ensure that the objectives of stage 1 can be met?</p> <p>Is the client informed of any "on-site" activities during stage 1?</p>  |   |            |                  |                          |
| 9.3.1.2.2            | Is the stage 1 audit performed to meet the objectives:  |   |            |                  |                          |
| (a)                  | to review the client's management system documented information?  |   |            |                  |                          |
| (b)                  | to evaluate the client's site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for the stage 2?   |   |            |                  |                          |
| (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? |   |            |                  |                          |



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| (d)    | to obtain necessary information regarding the scope of the management system including: <ul style="list-style-type: none"> <li>the client's site(s);</li> <li>processes and equipment used;</li> <li>levels of controls established (particularly in case of multisite clients);</li> <li>applicable statutory and regulatory requirements</li> </ul> |   |            |                  |                          |
| (e)    | to review the allocation of resources for stage 2 audit and agree the details of the stage 2 with the client?   |   |            |                  |                          |
| (f)    | to provide a focus for planning the stage 2 by gaining a sufficient understanding of the client's management system and site operations in the context of the management system standard or other normative document?   |   |            |                  |                          |
| (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?   |   |            |                  |                          |



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|           |   |   | YES        | NO               |                          |
| 9.3.1.2.3 | Are the documented conclusions with regard to fulfilment of the Stage 1 objectives and the readiness for Stage 2 communicated to the client, including identification of any areas of concern that could be classified as nonconformity during the Stage 2 audit?   |   |            |                  |                          |
| 9.3.1.2.4 | <p>In determining the interval between stage 1 and stage 2, is consideration given to the needs of the client to resolve areas of concern identified during the stage 1? The certification body may also need to revise its arrangements for stage 2.</p> <p>Does the certification body consider the need to repeat all or part of stage 1 if any significant changes which would impact the management system occur?</p> <p>Is the client informed that the results of the stage 1 may lead to postponement or cancellation of the stage 2?</p> |   |            |                  |                          |





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|                |  |   | YES        | NO               |                          |
| <b>9.3.1.3</b> | <p><b>Stage 2</b><br/>The purpose of the stage 2 is to evaluate the implementation, including effectiveness, of the client's management system.<br/>Does the stage 2 audit take place at the site(s) of the client?</p> <p>Does it include at least the following:</p> |   |            |                  |                          |
| <b>(a)</b>     | information and evidence about conformity to all requirements of the applicable management system standard or other normative document?  |   |            |                  |                          |
| <b>(b)</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)?   |   |            |                  |                          |
| <b>(c)</b>     | the client's management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements?   |   |            |                  |                          |
| <b>(d)</b>     | operational control of the client's processes?   |   |            |                  |                          |



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|                |  |   |  | YES              | NO |                          |
| (e)            | internal auditing and management review?   |   |  |                  |    |                          |
| (f)            | management responsibility for the client's policies?   |   |  |                  |    |                          |
| <b>9.3.1.4</b> | <b>Initial certification audit conclusions</b><br>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?   |   |  |                  |    |                          |
| <b>9.4</b>     | <b>Conducting audits</b>   |   |  |                  |    |                          |
| <b>9.4.1</b>   | <b>General</b><br>Does the certification body have a process for conducting on-site audits?<br><br>Does the certification body have a process for conducting on-site audits?<br><br>Does this process include an opening meeting at the start of the audit and a closing meeting at the conclusion of the audit? |   |  |                  |    |                          |



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|              |   |   | YES        | NO               |                          |
|              | <p>Does the certification body ensure that where any part of the audit is made by electronic means or where the site to be audited is virtual; such activities are conducted by personnel with appropriate competence?</p> <p>Is the evidence obtained during such an audit sufficient to enable the auditor to take an informed decision on the conformity of the requirement in question?</p> |   |            |                  |                          |
| <b>9.4.2</b> | <p><b>Conducting the opening meeting</b></p> <p>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?</p> <p>Is the purpose of the opening meeting to provide a short explanation of how the audit activities will be undertaken?</p>                            |   |            |                  |                          |



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|        |  |   | YES        | NO               |                          |
|        | Is the degree of detail consistent with the familiarity of the client with the audit process and to consider the following:  |   |            |                  |                          |
| (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?   |   |            |                  |                          |



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|        |  |   | YES        | NO               |                          |
| (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?  |   |            |                  |                          |



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|                                |   |   | YES        | NO               |                          |
| (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>9.4.3</b><br><b>9.4.3.1</b> | <p><b><u>Communication during the audit</u></b></p> <p>During the audit, does the CAB's audit team periodically assess audit progress and exchange information?</p> <p>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?</p> |   |            |                  |                          |



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|         |  |   | YES        | NO               |                          |
| 9.4.3.2 | <p>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?</p> <p>Does such action include reconfirmation or modification of the audit plan, changes to the audit objectives or audit scope, or termination of the audit?</p> <p>Does the audit team leader report the outcome of the action taken to the certification body?</p> |   |            |                  |                          |
| 9.4.3.3 | <p>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?</p>   |   |            |                  |                          |



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|                |  |   | YES        | NO               |                          |
| <b>9.4.4</b>   | <b><u>Obtaining and verifying information</u></b>  |   |            |                  |                          |
| <b>9.4.4.1</b> | During the audit, is information relevant to the audit objectives, scope and criteria (including information relating to interfaces between functions, activities and processes) obtained by appropriate sampling and verified to become audit evidence? |   |            |                  |                          |
| <b>9.4.4.2</b> | Do the methods to obtain information include, but not limited to:  |   |            |                  |                          |
| <b>(a)</b>     | interviews?  |   |            |                  |                          |
| <b>(b)</b>     | observation of processes and activities?   |   |            |                  |                          |
| <b>(c)</b>     | review of documentation and records?   |   |            |                  |                          |





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|                  |  |   | YES        | NO               |                          |
| 9.4.5<br>9.4.5.1 | <b>Identifying and recording audit findings</b><br>Are audit findings summarizing conformity and detailing nonconformity identified, classified and recorded to enable an informed certification decision to be made or the certification to be maintained?  |   |            |                  |                          |
| 9.4.5.2          | Are opportunities for improvement identified and recorded, unless prohibited by the requirements of a management system certification scheme?<br><br>Audit findings which are nonconformities shall not be recorded as opportunities for improvement.  |   |            |                  |                          |
| 9.4.5.3          | Are nonconformities recorded against a specific requirement and do they contain a clear statement of the nonconformity identifying in detail the objective evidence on which the nonconformity is based?<br><br>Are nonconformities discussed with the client to ensure that the evidence is accurate and that the nonconformities are understood? |   |            |                  |                          |



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|         |  |   | YES        | NO               |                          |
|         | Does the auditor refrain from suggesting the cause of nonconformities or their solution?   |   |            |                  |                          |
| 9.4.5.4 | 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 are recorded? |   |            |                  |                          |
| 9.4.6   | <b><u>Preparing audit conclusions</u></b><br>Under the responsibility of the audit team leader and 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 and audit criteria and classify the nonconformities?       |   |            |                  |                          |
| (b)     | agree upon the audit conclusions, taking into account the uncertainty inherent in the audit process?   |   |            |                  |                          |



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|                                |  |   | YES        | NO               |                          |
| (c)                            | agree any necessary follow-up actions?   |   |            |                  |                          |
| (d)                            | confirm the appropriateness of the audit programme or identify any modification required for future audits (e.g. scope of certification, audit time or dates, surveillance frequency, audit team competence).?   |   |            |                  |                          |
| <b>9.4.7</b><br><b>9.4.7.1</b> | <p><b><u>Conducting the closing meeting</u></b></p> <p>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?</p> <p>Is the purpose of the closing meeting, usually conducted by the audit team leader, to present the audit conclusions, including the recommendation regarding certification?</p> <p>Are nonconformities presented in such a manner that they are understood, and the timeframe for responding agreed?</p> |   |            |                  |                          |



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|         |  |   | YES        | NO               |                          |
| 9.4.7.2 | Does the closing meeting also include the following elements, where the degree of detail consistent with the familiarity of the client with the audit process: |   |            |                  |                          |
| (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?  |   |            |                  |                          |
| (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?  |   |            |                  |                          |



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|                  |   |   | YES        | NO               |                          |
| (f)              | information about the complaint handling and appeal processes?  |   |            |                  |                          |
| 9.4.7.3          | <p>Is the client given opportunity for questions?</p> <p>Are diverging opinions regarding the audit findings or conclusions between the audit team and the client discussed and resolved where possible?</p> <p>Are diverging opinions that are not resolved recorded and referred to the certification body?</p> |   |            |                  |                          |
| 9.4.8<br>9.4.8.1 | <p><b>Audit Report</b></p> <p>Does the certification body provide a written report for each audit to the client?</p> <p>Does the audit team identify opportunities for improvement without recommending specific solutions?</p> <p>Is the ownership of the audit report maintained by the</p>                     |   |            |                  |                          |



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|                |   |   | YES        | NO               |                          |
|                | certification body?   |   |            |                  |                          |
| <b>9.4.8.2</b> | Does the audit team leader ensure that the audit report is prepared and responsible for its content?<br><br>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: |   |            |                  |                          |
| <b>(a)</b>     | identification of the certification body?   |   |            |                  |                          |
| <b>(b)</b>     | the name and address of the client and the client's management representative?  |   |            |                  |                          |



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|        |  |   | YES        | NO               |                          |
| (c)    | the type of audit (e.g. initial, surveillance or recertification audit or special audits)?   |   |            |                  |                          |
| (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)    | any deviation from the audit plan and their reasons?   |   |            |                  |                          |
| (h)    | any significant issues impacting on the audit programme?   |   |            |                  |                          |
| (i)    | identification of the audit team leader, audit team members and any accompanying persons?  |   |            |                  |                          |
| (j)    | the dates and places where the audit activities (on site or offsite, permanent or temporary sites) were conducted?                     |   |            |                  |                          |



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|        |   |   | YES        | NO               |                          |
| (k)    | audit findings (see 9.4.5), reference to evidence and conclusions, consistent with the requirements of the type of audit? |   |            |                  |                          |
| (l)    | significant changes, if any, that affect the management system of the client since the last audit took place?             |   |            |                  |                          |
| (m)    | any unresolved issues, if identified?   |   |            |                  |                          |
| (n)    | where applicable, whether the audit is combined, joint or integrated?   |   |            |                  |                          |
| (o)    | a disclaimer statement indicating that auditing is based on a sampling process of the available information?              |   |            |                  |                          |
| (p)    | recommendation from the audit team?   |   |            |                  |                          |
| (q)    | the audited client is effectively controlling the use of the certification documents and marks, if applicable?            |   |            |                  |                          |





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|                |   |   | YES        | NO               |                          |
| (r)            | verification of effectiveness of taken corrective actions regarding previously identified non-conformities, if applicable?  |   |            |                  |                          |
| <b>9.4.8.3</b> | Does the report also contain:   |   |            |                  |                          |
| (a)            | a statement on the conformity and the effectiveness of the management system together with a summary of the evidence relating to: <ul style="list-style-type: none"> <li>the capability of the management system to meet applicable requirements and the expected outcomes?</li> <li>the internal audit and management review process?</li> </ul> |   |            |                  |                          |
| (b)            | a conclusion on the appropriateness of the certification scope?   |   |            |                  |                          |
| (c)            | confirmation that the audit objectives have been fulfilled?   |   |            |                  |                          |
| <b>9.4.9</b>   | <b><u>Cause analysis of nonconformities</u></b><br>Does the certification body require the client to  |   |            |                  |                          |



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|               |  |   | YES        | NO               |                          |
|               | 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>9.4.10</b> | <p><b>Effectiveness of corrections and corrective actions</b></p> <p>Does the certification body review the corrections, identified causes and corrective actions submitted by the client to determine if these are acceptable?</p> <p>Does the certification body verify the effectiveness of any correction and corrective actions taken?</p> <p>Is evidence obtained to support the resolution of nonconformities recorded?</p> <p>Is the client informed of the result of the review and verification?</p> <p>Is the client informed if an additional full audit, an</p> |   |            |                  |                          |



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|                |   |   | YES        | NO               |                          |
|                | <p>additional limited audit or documented evidence (to be confirmed during future audits) will be needed to verify effective correction and corrective actions?</p> <p>Verification of effectiveness of correction and corrective action can be carried out based on a review of documented information provided by the client, or where necessary, through verification on-site. Usually this activity is done by a member of the audit team.</p>    |   |            |                  |                          |
| <b>9.5</b>     | <b>Certification decision</b>   |   |            |                  |                          |
| <b>9.5.1</b>   | <b><u>General</u></b>   |   |            |                  |                          |
| <b>9.5.1.1</b> | <p>Does the certification body ensure that the persons or committees that make the decisions for granting or reducing certification, expanding or reducing the scope of certification, suspending or restoring certification, withdrawing certification or renewing certification are different from those who carried out the audits?</p> <p>Does the individual(s) appointed to conduct the certification decision have appropriate competence?</p> |   |            |                  |                          |



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|                |  |   | YES        | NO               |                          |
|                |  |   |            |                  |                          |
| <b>9.5.1.2</b> | <p>Is the person, [excluding members of committees (see 6.1.4)] assigned by the certification body to make a certification decision, employed by or is under legally enforceable arrangement with either the certification body or an entity under the organizational control of the certification body?</p> <p>Is the certification body's organizational control for one of the following:</p> |   |            |                  |                          |



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|         |  |   | YES        | NO               |                          |
| (a)     | whole or majority ownership of another entity by the certification body?   |   |            |                  |                          |
| (b)     | majority participation by the certification body on the board of directors of another entity?  |   |            |                  |                          |
| (c)     | a documented authority by the certification body over another entity in a network of legal entities (in which the certification body resides), linked by ownership or board of director control?                       |   |            |                  |                          |
| 9.5.1.3 | Does the persons employed by, or under contract with, entities under organizational control fulfil the same requirements of this ISO/IEC 17021 as persons employed by, or under contract with, the certification body? |   |            |                  |                          |
| 9.5.1.4 | Does the certification body record each certification decision including any additional information or clarification sought from the audit team or other sources?  |   |            |                  |                          |



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|                |   |   | YES        | NO               |                          |
| <b>9.5.2</b>   | <b><u>Actions prior to making a decision</u></b><br>Does the certification body have a process to conduct an effective review prior to making a decision of granting certification, expanding or reducing the scope of certification, renewing, suspending or restoring, withdrawing of certification including that: |   |            |                  |                          |
| <b>(a)</b>     | the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification?  |   |            |                  |                          |
| <b>(b)</b>     | for any major nonconformities, it has reviewed, accepted and verified the correction and corrective actions?  |   |            |                  |                          |
| <b>(c)</b>     | for any minor nonconformities it has reviewed and accepted the client's plan for correction and corrective action ?   |   |            |                  |                          |
| <b>9.5.3</b>   | <b><u>Information for granting initial certification</u></b>  |   |            |                  |                          |
| <b>9.5.3.1</b> | Does the information provided by the audit team to the certification body for the certification decision, as a minimum, include:  |   |            |                  |                          |
| <b>(a)</b>     | the audit reports,  |   |            |                  |                          |



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|        |  |   | YES        | NO               |                          |
| (b)    | comments on the nonconformities and, where applicable, the correction and corrective taken by a client?  |   |            |                  |                          |
| (c)    | confirmation of the information provided to the certification body used in the application review (see 9.1.2)?   |   |            |                  |                          |
| (d)    | confirmation that the audit objectives have been achieved?   |   |            |                  |                          |
| (e)    | a recommendation whether or not to grant certification, together with any conditions or observations?  |   |            |                  |                          |
| (f)    | Does the certification body conduct another stage 2 prior to recommending certification if the certification body is not able to verify the implementation of corrections and corrective actions of any major nonconformity within 6 months after the last day of stage 2? |   |            |                  |                          |



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|         |  |   | YES        | NO               |                          |
| 9.5.3.3 | Does the accepting certification body have a process for obtaining sufficient information in order to take a decision on certification when a transfer of certification is envisaged from one certification body to another?   |   |            |                  |                          |
| 9.5.4   | <b><u>Information for granting recertification</u></b><br>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?   |   |            |                  |                          |
| 9.6     | <b>Maintaining certification</b>   |   |            |                  |                          |
| 9.6.1   | <b><u>General</u></b><br>Does the certification body maintain certification based on demonstration that the client continues to satisfy the requirements of the management system standard?<br><br>Does the certification body maintain a client's certification based on a positive conclusion by the audit team leader without further independent review and decision, provided that: |   |            |                  |                          |





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|  |  |   | YES        | NO               |                          |
| (a)  | for any major nonconformity or other situation that may lead to suspension or withdrawal of certification, the certification body has a system that requires the audit team leader to report to the certification body the need to initiate a review by appropriately competent personnel (see 7.2.8), different from those who carried out the audit, to determine whether certification can be maintained; |   |            |                  |                          |
| (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>9.6.2</b><br><b>9.6.2.1</b><br><b>9.6.2.1.1</b> | <b><u>Surveillance activities</u></b><br><b>General</b><br>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?   |   |            |                  |                          |



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|                  |   |   | YES        | NO               |                          |
| <b>9.6.2.1.2</b> | Do surveillance activities include on-site auditing of the certified client's management system's fulfilment of specified requirements with respect to the standard to which the certification is granted?<br><br>Do other surveillance activities include: |   |            |                  |                          |
| <b>(a)</b>       | enquiries from the certification body to the certified client on aspects of certification?  |   |            |                  |                          |
| <b>(b)</b>       | reviewing any certified client's statements with respect to its operations (e.g. promotional material, website)?  |   |            |                  |                          |
| <b>(c)</b>       | requests to the certified client to provide documented information (on paper or electronic media)?  |   |            |                  |                          |
| <b>(d)</b>       | other means of monitoring the certified client's performance?   |   |            |                  |                          |
| <b>9.6.2.2</b>   | <b>Surveillance audit</b><br>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           |   |            |                  |                          |



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|        |  |   | YES        | NO               |                          |
|        | recertification audits?  |   |            |                  |                          |
|        | Does each surveillance for the relevant management system standard include, at least:  |   |            |                  |                          |
| (a)    | internal audits and management review,   |   |            |                  |                          |
| (b)    | a review of actions taken on nonconformities identified during the previous audit,   |   |            |                  |                          |
| (c)    | complaints handling,   |   |            |                  |                          |
| (d)    | effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system(s), |   |            |                  |                          |
| (e)    | progress of planned activities aimed at continual improvement,   |   |            |                  |                          |
| (f)    | continuing operational control,  |   |            |                  |                          |



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|  |   |   |  | YES              | NO |                          |
| (g)  | review of any changes, and  |   |  |                  |    |                          |
| (h)  | use of marks and/or any other reference to certification?   |   |  |                  |    |                          |
| <b>9.6.3</b><br><b>9.6.3.1</b><br><b>9.6.3.1.1</b> | <p><b>Recertification</b></p> <p><b>Recertification audit planning</b></p> <p>The purpose of the recertification audit is to confirm the continued conformity and effectiveness of the management system as a whole, and its continued relevance and applicability for the scope of certification.</p> <p>Is recertification audit planned and conducted to evaluate the continued fulfilment of all the requirements of the relevant management system or other normative document?</p> <p>Is recertification audit planned and conducted in due time to enable a timely renewal before the certificate expiry date?</p> |   |  |                  |    |                          |



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|           |  |   | YES        | NO               |                          |
| 9.6.3.1.2 | Does the recertification activity include the review of previous surveillance audit reports and consider the performance of the management system over the most recent certification cycle?  |   |            |                  |                          |
| 9.6.3.1.3 | Do recertification audit activities have a stage 1 audit in situations where there have been significant changes to the management system, the organisation, or the context in which the management system is operating (e.g. changes to legislation)? |   |            |                  |                          |
| 9.6.3.2   | <b>Recertification audit</b>   |   |            |                  |                          |
| 9.6.3.2.1 | 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)       | the effectiveness of the management system with regard to achieving the certified clients' objectives and  |   |            |                  |                          |



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|           |   |   | YES        | NO               |                          |
|           | the intended results of the respective management system(s) ?   |   |            |                  |                          |
| 9.6.3.2.2 | For any major nonconformity, does the certification body define time limits for correction and corrective actions?<br>Are these actions implemented and verified prior to the expiration of certification?  |   |            |                  |                          |
| 9.6.3.2.3 | Is the expiry date of the new certification based on the expiry date of the existing certification when recertification activities are successfully completed prior to the expiry date of the existing certification?   |   |            |                  |                          |
| 9.6.3.2.4 | Is recertification not recommended if the certification body has not completed the recertification audit or the certification body is unable to verify the implementation of corrections and corrective actions for any major nonconformity (see 9.5.2.1) prior to the expiry date of certification?<br><br>Is the validity of the certification not extended?<br><br>Is the client informed and the consequences |   |            |                  |                          |



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|                  |  |   | YES        | NO               |                          |
|                  | explained?   |   |            |                  |                          |
| <b>9.6.3.2.5</b> | <p>Is the certification restored within 6 months if the outstanding recertification activities are completed following expiration of certification?</p> <p>Is Stage 2 conducted if outstanding recertification activities following expiration of certification are not completed?</p> <p>Is the effective date on the certification on or after the recertification decision?</p> <p>Is the expiry date based on prior certification cycle?</p> |   |            |                  |                          |





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|                  |   |   | YES        | NO               |                          |
| 9.6.4<br>9.6.4.1 | <p><b>Special audits</b><br/><b>Expanding Scope</b></p> <p>Does the certification body, in response to an application for expanding the scope of a certification already granted, undertake a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted?<br/>This may be conducted in conjunction with a surveillance audit.</p> |   |            |                  |                          |
| 9.6.4.2          | <p><b>Short-notice audits</b></p> <p>It may be necessary for the certification body to conduct audits of certified clients at short notice or unannounced to investigate complaints or in response to changes or as follow up on suspended clients.<br/>In the cases does the certification body:</p>   |   |            |                  |                          |
| (a)              | describe and make known in advance to the certified clients (e.g. in documents as described in 8.5.1) the conditions under which such audits will be conducted  |   |            |                  |                          |
| (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?   |   |            |                  |                          |





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|                |  |   | YES        | NO               |                          |
| <b>9.6.5</b>   | <b>Suspending, withdrawing or reducing the scope of certification</b>  |   |            |                  |                          |
| <b>9.6.5.1</b> | Does the certification body have a policy and documented procedure(s) for suspension, withdrawal or reduction of the scope of certification?<br>Does the certification body specify the subsequent actions by the certification body?  |   |            |                  |                          |
| <b>9.6.5.2</b> | 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> <li>the certified client does not allow surveillance or recertification audits to be conducted at the required frequencies, or</li> <li>the certified client has voluntarily requested a suspension?</li> </ul> |   |            |                  |                          |



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|            |  |   | YES        | NO               |                          |
| 9.6.5.3    | Under suspension, is the client's management system certification temporary invalid?   |   |            |                  |                          |
| 9.6.5.4    | Does the certification body restore the suspended certification if the issue that has resulted in the suspension has been resolved?<br><br>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?                            |   |            |                  |                          |
| 9.6.5.5    | Does the certification body reduce the 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?<br><br>Is any such reduction in line with the requirements of the standard used for certification? |   |            |                  |                          |
| <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?  |   |            |                  |                          |



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|        |   |   | YES        | NO               |                          |
| 9.7.2  | Is the certification body responsible for all decisions at all levels of the appeals-handling process?<br>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? |   |            |                  |                          |
| 9.7.3  | Does the certification body ensure submission; investigation and decision on appeals do not result in any discriminatory actions against the appellant?   |   |            |                  |                          |
| 9.7.4  | 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 need 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?   |   |            |                  |                          |



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|        |   |   | YES        | NO               |                          |
| 9.7.5  | Does the certification body receiving the appeal responsible for gathering and verifying all necessary information to validate the appeal?                                  |   |            |                  |                          |
| 9.7.6  | Does the certification body acknowledge receipt of the appeal?<br><br>Does the certification body provide the appellant with progress reports and the result of the appeal? |   |            |                  |                          |
| 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?               |   |            |                  |                          |
| 9.7.8  | Does the certification body give formal notice to the appellant of the end of the appeals-handling process?   |   |            |                  |                          |
| 9.8    | <b>Complaints</b>   |   |            |                  |                          |



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|        |  |   | YES        | NO               |                          |
| 9.8.1  | Is the certification body responsible for all decisions at all levels of the complaints-handling process?  |   |            |                  |                          |
| 9.8.2  | Do the submission, investigation and decision on complaints result in any discriminatory actions against the complainant?  |   |            |                  |                          |
| 9.8.3  | Upon receipt of a complaint, does the certification body confirm whether the complaint relates to certification activities that it is responsible for?<br><br>If so, does the certification body deal with it?<br><br>If the complaint relates to a certified client, does examination of the complaint consider the effectiveness of the certified management system? |   |            |                  |                          |
| 9.8.4  | Is valid complaint about a certified client referred by the certification body to the certified client in question at an appropriate time?   |   |            |                  |                          |



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| 9.8.5  | Does the certification body have a documented process to receive, evaluate and make decisions on complaints?<br><br>Is this process subject to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint? |   |            |                  |                          |
| 9.8.6  | Does the complaints-handling process include at least the following elements and methods:  |   |            |                  |                          |
| (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?  |   |            |                  |                          |
| 9.8.7  | Is the certification body receiving the complaint responsible for gathering and verifying all necessary information to validate the complaint?   |   |            |                  |                          |



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| 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               |                          |
| 9.8.8  | Whenever possible, does the certification body acknowledge receipt of the complaint?<br><br>Does the certification body provide the complainant with progress reports and the result of the complaint? |   |            |                  |                          |
| 9.8.9  | 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?                                     |   |            |                  |                          |
| 9.8.10 | Whenever possible, does the certification body give formal notice of the end of the complaints-handling process to the complainant?  |   |            |                  |                          |
| 9.8.11 | Does the certification body determine, together with the certified client and the complainant, whether and, if so to what extent, the subject of the complaint and its resolution made public?         |   |            |                  |                          |





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|              |  |   |  | YES              | NO |                          |
| <b>9.9</b>   | <b>Client records</b>  |   |  |                  |    |                          |
| <b>9.9.1</b> | Does the certification body maintain records on the audit and other certification activities for all clients, including all organizations that submitted applications, and all organizations audited, certified, or with certification suspended or withdrawn? |   |  |                  |    |                          |
| <b>9.9.2</b> | Do records on certified clients include the following:   |   |  |                  |    |                          |
| <b>(a)</b>   | application information and initial, surveillance and recertification audit reports?   |   |  |                  |    |                          |
| <b>(b)</b>   | certification agreement?   |   |  |                  |    |                          |
| <b>(c)</b>   | justification of the methodology used for sampling of sites, as appropriate?   |   |  |                  |    |                          |
| <b>(d)</b>   | justification for auditor time determination (see 9.1.4)?  |   |  |                  |    |                          |
| <b>(e)</b>   | verification of correction and corrective actions?   |   |  |                  |    |                          |





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|              |  |   | YES        | NO               |                          |
| (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?   |   |            |                  |                          |
| (k)          | audit programmes?  |   |            |                  |                          |
| <b>9.9.3</b> | Does the certification body keep the records on applicants and clients secure to ensure that the information is kept confidential?<br><br>Are records transported, transmitted or transferred in a |   |            |                  |                          |



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|              |  |   |  | YES              | NO |                          |
|              | way that ensures that confidentiality is maintained?   |   |  |                  |    |                          |
| <b>9.9.4</b> | Does the certification body have a documented policy and documented procedures on the retention of records?<br><br>Are records of certified clients and previously certified clients retained for the duration of the current cycle plus one full certification cycle? |   |  |                  |    |                          |

**Other Remarks:**

**Conclusion:** (shall include if any pre-assessment shall take place or any assessment as the case may be)



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Remarks from Lead assessor/Technical assessor/expert:

.....  
**Date**

.....  
**Signature (Lead Assessor)**

.....  
**Signature (Technical Assessor)**