

ISO/IEC 17065:2012
VERTICAL / FILE REVIEW ASSESSMENT
(Please use one (1) form for each file assessed)

Date/s of Evaluation:					
Assessor/s & Observers:					
Certification Body					
Area / Field of Operation:					
Certification Body Representative:					
Applicable Standard / Specification					
Type of Assessment	Initial		Periodic on-site visit		Reassessment
	Onsite Clearance of Findings		Extension of Scope		
	NACE Code		IAF Code		Global GAP
	Other (specify)				
Clause	REQUIREMENTS & COMMENTS Compliance = C Non-Compliance = NC				
	<p><i>NB:</i> Indicate <u>WHAT</u> has been checked and <u>HOW</u> requirements have been implemented. Assessors are expected to know and have the standard. This form is designed as guidance to prompt detailed recording of the process.</p> <p><i>REFER TO THE RELEVANT SCHEME / IAF GUIDANCE DOCUMENTS FOR MORE DETAILS</i></p>				
7.7	CERTIFICATION DOCUMENTATION				C NC
7.7.1	Does the client's formal certification documentation clearly convey or permits identification of the following?				
a)	The name and address of the Certification Body;				
b)	The date certification was granted ;				
c)	The name and address of the client;				
d)	The scope of certification;				
e)	The term or expiry date of certification;				
f)	Any Other information required by the certification scheme.				

7.7.2	Does the formal certification documentation include a signature or other defined authorization of the person(s) of the certification body assigned such responsibility?		
Comments:			
7.7.3	Was the formal certification documentation only issued after or concurrent with the following:		
a)	The decision to grant or extend the scope of certification has been made?		
b)	The certification requirements have been fulfilled?		
c)	The certification agreement has been completed?		
Comments:			
6	RESOURCE REQUIREMENTS		
6.1	Certification Body Personnel		
6.1.1	General		
6.1.1.1	Is there an accessible number of personnel to cover the CB's operations related to certification schemes and to the applicable normative documents?		
6.1.1.2	Are personnel competent for the functions they perform, including making required technical judgements, defining policies and implementing them?		
6.1.1.3	How do personnel, including any committee members, personnel of external bodies, or personnel acting on the CB's behalf, keep confidential all information obtained or created during the performance of the certification activities, except as required by law or by the certification scheme?		
6.1.2	Management of Competence for Personnel Involved in the Certification Processes		
6.1.2.1	Are procedures in place and implemented to manage the competencies of personnel involved in the certification process? Do the procedures address how to: a) Determine the criteria for the competence of personnel for each function in the certification process taking into account the requirements of the schemes;		

	<ul style="list-style-type: none"> b) Identify training needs and provide , as necessary, training programs on certification processes, requirements, methodologies, activities and other relevant certification scheme requirements; c) Demonstrate that the personnel have the required competencies for the duties and responsibilities they undertake; d) Formally authorize personnel for functions in the certification process; e) Monitor the performance of personnel? 			
6.1.2.2	<p>Does the CB maintain the following records on the personnel involved in the certification process (see 7)</p> <ul style="list-style-type: none"> a) Name and address; b) Employer(s) and position held; c) Educational qualifications and professional status; d) Experience and training; e) The assessment of competence; f) Performance monitoring; g) Level of authorization within the CB; h) Relevant records kept and up to date; 			
6.1.3	Contract with the Personnel			
	<p>Are personnel of the CB that are involved in the certification process required to sign a contract or other document by which they commit themselves to:</p> <ul style="list-style-type: none"> a) Comply with the rules defined by the CB, including those relating to confidentiality (see 4.5) and independence from commercial and other interests; b) Declare any prior and/or present association on their own part, or on the part of their employer, with a supplier or designer of products, a provider or developer of services, or an operator or developer of processes to the evaluation or certification of which they are to be assigned; and 			

	<p>c) Reveal any situation known to them that may present them or the CB with a conflict of interest (see 4.2)?</p> <p>How does the CB use this information as input to identifying risks to impartiality raised by the activities of such personnel or by the organizations that employ them (see 4.2.3)?</p>			
6.2	Resources for Evaluation			
6.2.1	<p>Internal Resources</p> <p>How does the CB ensure that evaluation activities are performed (using internal and/or external resources under the CB's direct control) in accordance with the relevant international standard?</p>			
6.2.2	External Resources (Outsourcing)			
	<p>How does the CB ensure that evaluation activities that are outsourced meet the applicable requirements of the international standard and specified certification scheme requirements?</p> <p>How does the CB ensure that only organizations that meet the requirements are used for outsourced work?</p> <p>Are the impartiality requirements for the evaluation of personnel stipulated in the relevant standard always applicable?</p>			
6.2.2.2	How does the CB ensure that evaluation activities outsourced to non-independent bodies are managed effectively in a manner which provides confidence in the results and records maintained to justify confidence?			
6.2.2.3	Does the CB have a legally binding contract with the body that provides the outsourced service, including confidentiality and conflict of interest as described in 6.1.3?			
6.2.2.4	<p>How does the CB:</p> <ul style="list-style-type: none"> a) Take responsibility for all activities outsourced; b) Ensure the organization conducting outsourced work and its personnel are not involved (directly or indirectly) in such a manner that would compromise the credibility of the results obtained; c) That there are documented policies, procedures and records for the qualification, assessing and monitoring of all bodies that provide outsourced services used for certification activities; 			

	d) Maintain a list of approved providers of outsourced services; e) Implement corrective actions for any breaches of the contract in 6.2.2.3 or other requirements in 6.2.2 of which it becomes aware; f) Inform the client in advance of outsourcing activities to provide the client an opportunity to object;		
Comments:			
7	PROCESS REQUIREMENTS		
7.1	General		
7.1.1	Does the CB operate one or more certificate scheme(s) covering its certification activities? (see Notes 1 & 2)		
7.1.2	Are the requirements against which the products of a client are evaluated those contained in specified standards and other normative documents? (see Note)		
7.1.3	If explanations are required as to the application of the documents (7.1.2), who formulated these explanations? Do they have the necessary technical competence? Does the CB make the explanations available upon request?		
Comments:			
7.2	APPLICATION	C	NC
	Is there a completed application form signed by an authorized person detailing scope of certification? Is this in accordance with the relevant certification scheme requirements, if applicable? (See Notes 1, 2 and 3)		
Comments:			

7.3	APPLICATION REVIEW	C	NC
7.3.1	Has the Certification Body conducted a review of the application (Refer to 7.2 above) to ensure that:		
a)	The information about the client and the product is sufficient for the conduct of the certification process?		
b)	Any known difference in understanding between the certification body and the client is resolved including agreement regarding standard or normative document?		
c)	The scope of certification sought is defined?		
d)	The means to perform all evaluation activities are available?		
e)	The Certification Body has the competence and capability to perform the certification activity?		
7.3.2	Does the CB have a process to identify when the client's request for certification includes a type of product, or a normative document, or a certification scheme, with which the CB has no prior experience? (see Note)		
7.3.3	How does the CB ensure that it has the competence and capability for all the certification activities to undertake? Does the CB maintain a record of the justification for the decision to undertake certification?		
7.3.4	Does the CB decline to undertake a specific certification if it lacks any competence or capability for the certification activities?		
7.3.5	If the CB relies on certifications it has already granted to the client, or has already granted to other clients, to omit any activities, does the CB reference the existing certification(s) in its records? If requested by the client, does the CB provide justification for omission of activities?		
Comments:			
7.4	EVALUATION	C	NC
7.4.1	Did the Certification Body plan for evaluation activities in order to ensure the necessary arrangements are managed?		
Comments:			

7.4.2	Did the Certification Body assign personnel to perform each evaluation task which it undertakes with its internal resources (refer to 6.2.1)?		
Comments:			
7.4.3	Did the Certification Body ensure all need information and/or documentation was made available for performing the evaluation tasks?		
Comments:			
7.4.4	Did the Certification Body carry out evaluation activities and managed outsourced resources according to the evaluation plan?		
	Were the products evaluated against the requirements covered by the scope of certification and other requirements specified in the certification scheme?		
Comments:			
7.4.5	Does the Certification Body only rely on evaluation results related to certification completed prior to the application for certification where it takes responsibility for the results and satisfies itself that the body that performed the evaluation fulfils the requirements contained in 6.2.2 and those specified by the Certification scheme?		
Comments:			
7.4.6	How does the Certification Body inform the client of all nonconformities?		
Comments:			

7.4.7	If one or more nonconformities have arisen and if the client expresses interest in continuing the certification process, has the Certification Body made provision of information regarding the additional evaluation tasks needed to verify that nonconformities have been corrected?		
Comments:			
7.4.8	If additional evaluation tasks need to be completed and agreed to by the client, has the Certification Body ensured that the specified evaluation process in 7.4 was repeated to complete the additional evaluation tasks?		
Comments:			
7.4.9	Were the results of all evaluation activities documented prior to the review process?		
Comments:			
7.5.	REVIEW	C	NC
7.5.1	Has the Certification Body assigned at least one person to review all the information and results related to the evaluation? Has the Certification Body also ensured that this person was not involved in the evaluation process?		
7.5.2	In cases where the review and certification decision were not completed concurrently by the same person, were recommendations for a certification decision based on the review documented?		

Comments:			
7.6	CERTIFICATION DECISION	C	NC
7.6.1	Is the Certification Body responsible for and how does it retain authority for its decision?		
7.6.2	Has the Certification Body assigned at least one person to make the certification decision based on all the information related to the evaluation, its review and any other relevant information? Has the Certification Body also ensured that this person or group of persons/committee was not involved in the evaluation process?		
7.6.3	Is the person(s) assigned for certification decisions employed by (6.1) or under contract with the Certification Body or an entity under the control of the Certification Body?		
7.6.4	Is the Certification Body's organizational control : <ul style="list-style-type: none"> • Whole or majority ownership of another entity of the Certification Body? • Majority participation by the Certification Body on the board of Directors of another entity? Or • Documented authority by the Certification Body over another entity in a network of legal entities (in which the Certification Body resides) linked by ownership of Board of Directors control? 		
7.6.5	Does the Certification Body ensure that the persons employed by or under contract with or entities under organizational control fulfil the same requirements of this international standard, as persons being under employment or contract with the Certification Body?		
7.6.6	Does the Certification Body ensure that it notifies the client of a decision not to grant certification? Are the reasons for this decision identified?		
Comments:			

7.8	DIRECTORY OF CERTIFIED PRODUCTS	C	NC
	Does the Certification Body maintain information on certified products which contains at least the following:		
a)	Identification of the product?		
b)	The standard(s) and other normative documents to which conformity has been certified?		
c)	Identification to the client?		
	As a minimum how does the Certification Body provide information, upon request, about the validity of a given certification?		
Comments:			
7.9	PERIODIC ON-SITE VISIT (if Applicable)	C	NC
7.9.1	If periodic on-site visit is required by the certification scheme or as described in sub clauses 7.9.3 or 7.9.4, does the Certification Body initiate periodic on-site visit of the product(s) covered by the certification decision in accordance with the certification scheme?		
7.9.2	When periodic on-site visit utilizes evaluation, review or certification decision, does the Certification Body ensure that requirements in 7.4, 7.5 or 7.6 fulfilled?		
7.9.3	When continuing use of a certification mark is authorized for placement on a product (or its packaging, or information accompanying it) (for process or service, see 7.9.4) of a type which has been certified, how is periodic on-site visit established and does it include periodic periodic on-site visit of marked products to assure ongoing validity of the demonstration of fulfilment of product requirements?		
7.9.4	When continuing use of a certification mark is authorized for a process or service, is periodic on-site visit established and does it include periodic activities to assure ongoing validity of the demonstration of fulfillment of process or service requirements?		
Comments:			
7.10	CHANGES AFFECTING CERTIFICATION	C	NC
7.10.1	When the certification scheme introduces new or revised requirements that affect the client, does the Certification Body ensure that these changes are communicated to all clients?		
	Does the Certification Body verify the implementation the implementation of the		

	changes by its clients and does it take actions required by the scheme?		
7.10.2	Does the Certification Body consider other changes affecting certification including changes initiated by the client and decide upon the appropriate action?		
7.10.3	Do actions to implement changes affecting certification include, if required: <ul style="list-style-type: none"> 1. Evaluation (See 7.4) 2. Review (See 7.5) 3. Decision (See 7.6) 4. Formal revised certification document issued to extend or reduce the scope of a certification (See 7.7) 5. If periodic on-site visit (See 7.9) is part of the certification scheme? 		
	Do records (See 7.12) include the rationale for excluding any of the above activities?		
Comments:			
7.11	TERMINATION, REDUCTION, SUSPENSION OR WITHDRAWAL OF CERTIFICATION	C	NC
7.11.1	When a nonconformity with certification requirements is substantiated, either as a result of periodic on-site visit or otherwise, how does the Certification Body consider and decide upon the appropriate action?		
7.11.2	When the appropriate action includes evaluation, review or certification decision, does the Certification Body ensure that requirements in 7.4; 7.5 or 7.6 fulfilled?		
7.11.3	When certification is terminated, suspended or withdrawn, does the Certification Body take actions (specified by the scheme) to ensure it provides no indication that the product continues to be certified? When the scope of certification is reduced, does the Certification Body make modifications to formal certification documents, public information, authorization for use of marks, etc. to ensure the scope of certification is clearly communicated to the client and clearly described in certification documentation and public information?		
7.11.4	If certification is suspended, does the Certification Body assign one or more persons to formulate and communicate to the client the actions needed to end suspension and restore certification for the product(s) in accordance with the certification scheme and any other actions required by the scheme? Are these persons competent in their knowledge and understanding of all aspects of the handling of suspended certifications?		
7.11.5	How are any evaluations, reviews or decisions needed to resolve the suspension or that is required by the certification scheme completed in accordance with the applicable parts of sub clauses 7.4; 7.5; 7.6; 7.7.3; 7.9 and 7.11.3?		
7.11.6	How does the Certification Body make the necessary modifications to formal certification documents, public information, authorizations for use of marks, etc. if		

	<p>certification is reinstated after suspension to ensure all appropriate indications exist that the product continues to be certified?</p> <p>If a decision to reduce the scope of certification is made as a condition of reinstatement, how does the Certification Body make all needed modifications to formal certification documents, public information, authorizations for use of marks, etc. to ensure the reduced scope of certification is clearly communicated to the client and clearly described in certification documentation and public information?</p>		
<p>Comments:</p>			
7.12	RECORDS	C	NC
7.12.1	Does the Certification Body retain records to demonstrate that all certification process requirements (in this International Standard and those of the certification scheme) have been effectively fulfilled?		
7.12.2	Does the Certification Body ensure that records are kept confidential, transported, transmitted and transferred in a way that ensures confidentiality is maintained?		
7.12.3	If the certification scheme involves complete re-evaluation of the product(s) within a determined cycle, are records retained at least for the current and the previous cycle? Or are records retained for a period defined by a Certification Body?		
<p>Comments:</p>			

Additional / General Comments *(This space may also be used to expand on comments in specific sections)*

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Signed: Technical Assessor:		Date:
Signed : Team Leader		Date: