

SADCAS Ref. No:

CHECKLIST ISO/IEC 17065: 2012

Conformity Assessment – Requirements for Bodies Providing Certifying Products, Processes and Services



Date(s) of Evaluation:							
Team Leader							
Observer(s)							
Organization:						Department	
Area/Field of Operation:							
Organization's Representative:							
Scheme Title							
Owner (SADCAS F 130 to be completed by CB and reviewed by the Assessment team)							
Scope (Insert more rows if needed)	IAF CODE	DESCRIPTION	Type	Specific Scheme Rule	Standard / Specification	Product	Technical Assessor / Expert

The report covers the following:

Document Review ☐ Preassessment ☐ Initial Assessment ☐ Periodic Assessment ☐ Reassessment ☐

ISO/IEC 17065 REQUIREMENTS	CAB's COMMENTS	COMMENTS BY ASSESSOR
4. GENERAL REQUIREMENTS		
4.1 Legal and Contractual Matters		
4.1.1 Legal Responsibility <p>Is the Certification Body (CB) a legal entity or a defined part of a legal entity such that it can be held legally responsible?</p> <p>Note: A government CB is deemed to be a legal entity on the basis of its government status.</p>		
4.1.2 Certification Agreement		
4.1.2.1 Does the CB have a legally enforceable agreement for the provision of certification activities to its client, and do these agreements take into account the responsibilities of the certification and its clients/		
4.1.2.2 Has the CB ensured that its certification agreement requires that the client complies at least with the following: <ul style="list-style-type: none"> a) The client always fulfills the certification requirements, including implementing appropriate changes when they are communicated by the CB; b) If the certification applies to ongoing production, the certified product continues to fulfill the product requirements; 		

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<p>c) The client makes all necessary arrangements for:</p> <ul style="list-style-type: none"> - The conduct of the evaluation and surveillance (if required), including provision for examining documentation and records, and access to the relevant equipment, location(s), area(s), personnel and client's subcontractors; - Investigations of complaints; - The participation of observers, if applicable; <p>d) The client makes claim regarding certification consistent with the scope of certification;</p> <p>e) The client does not use its product certification in such a manner as to bring the CB into disrepute and does not make any statement regarding its product certification that the CB might consider misleading or unauthorized;</p> <p>f) Upon succession, withdrawal or termination of certification, the client discontinues its use of all advertising matter that contains any reference thereto and takes action as required by the certification scheme (e.g. the return of certification documents) and takes any other required measure;</p> <p>g) If the client provides copies of the certification documents to others, the documents shall be</p>		

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<p>reproduced in their entirety or as specified in the certification scheme;</p> <p>h) In making reference to its product certification in communication media such as documents, brochures or advertising, the client complies with the requirements of the CB or as specified by the certification scheme;</p> <p>i) The client complies with any requirements that may be prescribed in the certification scheme relating to the use of marks of conformity, and on information related to the product;</p> <p>j) The client keeps a record of all complaints made known to it relating to compliance with certification requirements and makes these records available to the CB when requested, and  Takes appropriate action with respect to such complaints and any deficiencies found in the products that affect compliance with requirements for certification.  Documents the actions taken;</p> <p>k) The client informs the CB, without delay, of changes that may affect its ability to conform with the certification requirements. (see Note)</p>		

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4.1.3 Use of License, Certificates and Marks of Conformity		
4.1.3.1 Does the CB exercise control as specified by the certification scheme over ownership, use and display of licenses, certificates, marks of conformity and any other mechanisms for indicating a product is certified?		
4.1.3.2 What are the actions the CB has deemed suitable for dealing with incorrect references to the certification scheme, or misleading use of licenses, certificates, marks, or any other mechanism for indicating a product is certified, found in documentation or other publicity?		
4.2 Management of Impartiality		
4.2.1 Does the CB ensure that certification activities are undertaken impartially?		
4.2.2 How does the CB ensure that commercial, financial or other pressures do not compromise impartiality?		

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4.2.3 Has the CB identified risks (arising from its activities, its relationships or relationships of its personnel) to its impartiality and is this happening on an ongoing basis?		
4.2.4 Has the CB established measures for handling identified risks demonstrating how it eliminates or minimizes such risks?		
4.2.5 What evidence is available demonstrating that the CB's top management is committed to impartiality?		
4.2.6 Are measures in place ensuring that CB, any part of the same legal entity and entities under its organizational control: <ul style="list-style-type: none"> a) Are not the designer, manufacturer, installer, distributor or maintainer of the certified product; b) Are not the designer, implementer, operator or maintainer of the certified process; 		

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<p>c) Are not the designer, implementer, operator or maintainer of the certified service;</p> <p>d) Do not offer or provide consultancy to its client;</p> <p>e) Do not offer or provide management consultancy or internal auditing to its clients where the certification scheme requires the evaluation of the client's management system? (see Note 1)</p>		
<p>4.2.7 Does the CB ensure that activities of separate legal entities with which the CB or the legal entity of which it forms a part has relationships do not compromise the impartiality of its certification activities?</p>		
<p>4.2.8 When the separate legal entity in 4.2.7 offers or produces the certified product (including products to be certified) or offers or provides consultancy, how do the CB's management personnel and personnel in the review and certification decision making process ensure that they are not involved in the activities of the separate legal entity?</p>		

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Are the personnel of the separate legal entity involved in the management of the CB, the review or certification decision?		
<p>4.2.9 Are the CB's activities marketed or offered linked with the activities of an organization that provides consultancy?</p> <p>Has the CB ensured that it does not state or imply that certification would be simpler, easier, faster or less expensive if a specified consultancy organization were used?</p>		
4.2.10 Does the CB specify a period within which personnel shall not be used to review or make a certification decision for a product for which they have provided consultancy?		
4.2.11 How does the CB take action to respond to any risks to its impartiality arising from the actions of other persons, bodies or organizations of which it becomes aware?		

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4.2.12 How does the CB ensure that all its personnel, either internal or external, or committees who could influence the certification activities act impartially?		
4.3 Liability and Financing		
4.3.1 How does the CB ensure that it has adequate arrangements (e.g. insurance or reserves) to cover liabilities arising from its operations?		
4.3.2 How has the CB ensured that it has the financial stability and resources required for its operations?		
4.4 Non-discriminatory Conditions		
4.4.1 Are policies and procedures under which the CB operates and their administration non-discriminatory?		

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Does the CB ensure that its procedures are not used to impede or inhibit access by applicants other than as provided for in this international standard?		
4.4.2 How does the CB make its services accessible to all applicants whose activities fall within the scope of its operations?		
4.4.3 Does the CB ensure that access to the certification process is not conditional upon the size of the client or membership of any association or group, or certification conditional upon the number of certifications already used? Are there any undue financial or other conditions?		
4.4.4 Does the CB ensure that it confines its requirements, evaluation, review, decision and surveillance (if any) to those matters specifically related to the scope of the certification?		

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4.5 Confidentiality		
<p>4.5.1 Does the CB take responsibility, through legally enforceable commitments, for the management of all information obtained or created during the performance of certification activities?</p> <p>Except for information that the client makes publicly available, or when agreed between the CB and the client (e.g. for the purpose of responding to complaints), is all other information considered proprietary information and regarded as confidential?</p> <p>How does the CB inform the client, in advance, of the information it intends to place in the public domain?</p>		
<p>4.5.2 When the CB is required by law or authorized by contractual arrangements to release confidential information, how is the client or person concerned, unless prohibited by law, notified of the information provided?</p>		

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4.5.3 Is information about the client obtained from sources other than the client (e.g. complainant, regulators) treated as confidential?		
4.6 Publicly Available Information		
<p>Does the CB maintain (through publications) electronic media or other means) and make available on request the following:</p> <ul style="list-style-type: none"> a) Information about (or reference to) the certification scheme(s), including procedures, rules and procedures for granting, maintaining, extending or reducing the scope of, suspending, withdrawing or refusing certification; b) A description of how the CB obtains financial support and general information on the fees charged to applicants and to clients; c) A description of the rights and duties of applicants and clients, including requirements, restrictions or limitations on the use of the CB's name and certification mark and on the ways of referring the certification granted; 		

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d) Procedures for handling complaints and appeals?		
5 STRUCTURAL REQUIREMENTS		
5.1 Organizational Structure and Top Management		
5.1.1 Are certification activities structures and managed so as to safeguard impartiality?		
5.1.2 Does the CB document its organizational structure which indicates duties, responsibilities, authorities of management and other certification personnel and committees?		
5.1.3 has the management of the CB identified the board, group of persons, or person having overall authority and responsibility for each of the following: a) Development of policies relating to the operation of the CB; b) Supervision of the implementation of the policies and procedures;		

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<ul style="list-style-type: none"> c) Supervision of the finances of the CB; d) Development of certification activities; e) Development of certification requirements; f) Evaluation (see 7.4); g) Review (see 7.5); h) Decisions on certification (see 7.6); i) Delegation of authority to committees or personnel, as required, to undertake defined activities on its behalf; j) Contractual arrangements k) Provision of adequate resources for certification activities; l) Responsiveness to complaints and appeals; m) Personnel competence requirements; n) Management system of the CB (see 8.) 		

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<p>5.1.4 Does the CB have formal rules for the appointment, terms of reference and operation of any committees that are involved in the certification process (see 7)?</p> <p>Are such committees free from any commercial, financial and other pressures that might influence decisions?</p> <p>How does the CB retain authority to appoint and withdraw members of such committees?</p>		
5.2 Mechanism for Safeguarding Impartiality		
<p>5.2.1 What mechanism does the CB have to safeguard impartiality and does the mechanism provide input on:</p> <ul style="list-style-type: none"> a) The policies and principles relating to the impartiality of its certification activities; b) Any tendency on the part of a CB to allow commercial or other considerations to prevent the consistent impartial provision of certification activities; c) Matters affecting impartiality and confidence in certification, including openness? 		

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<p>5.2.2 Is the mechanism formally documented to ensure:</p> <ul style="list-style-type: none"> a) A balanced representation of significantly interested parties such that no single interest predominates (internal or external personnel of the CB are considered to be a single interest and shall not predominate); b) Access to all the information necessary to enable it to fulfill all its functions? 		
<p>5.2.3 Should top management of the CB not follow the input of this mechanism, how does the mechanism have the right to take independent action (e.g. informing authorities, accreditation bodies and stakeholders)?</p> <p>In taking appropriate action, is the confidentiality requirements of 4.5 relating to the client and certification body respected?</p>		
<p>5.2.4 How does the CB identify and invite significantly interested parties?</p>		

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6. RESOURCE REQUIREMENTS		DURING PERIODIC ASSESSMENTS PLEASE ASSESS THIS REQUIREMENT (CLAUSE 6) USING F104
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		

ISO/IEC 17065 REQUIREMENTS	CAB's COMMENTS	COMMENTS BY ASSESSOR
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		
<p>6.1.2.1 Are procedures in place and implemented to manage the competencies of personnel involved in the certification process?</p> <p>Does the procedures address how to:</p> <ul style="list-style-type: none"> a) Determine the criteria for the competence of personnel for each function in the certification process taking into account the requirements of the schemes; 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; 		

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d) Formally authorize personnel for functions in the certification process; e) Monitor the performance of personnel?		
6.1.2.2 Does the CB maintain the following records on the personnel involved in the certification process (see 7) 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		

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<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 c) Reveal any situation known to them that may present them or the CB with a conflict of interest (see 4.2)? <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		

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6.2.1 Internal Resources 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?		
6.2.2 External Resources (Outsourcing)		
6.2.2.1 How does the CB ensure that evaluation activities that are outsourced meet the applicable requirements of the international standard and specified certification scheme requirements? How does the CB ensure that only organizations that meet the requirements are used for outsourced work? Are the impartiality requirements for the evaluation of personnel stipulated in the relevant standard always applicable?		
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?		

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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?		
<p>6.2.2.4 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; 		

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<p>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;</p> <p>f) Inform the client in advance of outsourcing activities to provide the client an opportunity to object;</p>		
7. PROCESS REQUIREMENTS		DURING PERIODIC ASSESSMENTS PLEASE ASSESS THIS REQUIREMENT (CLAUSE 7) USING F104
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)		

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<p>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?</p> <p>Does the CB make the explanations available upon request?</p>		
7.2 Application		
<p>For application, does the CB obtain all the necessary information to complete the certification process in accordance with the relevant certification scheme?</p> <p>(See Notes 1, 2 and 3)</p>		
7.3 Application review		
7.3.1 Does the CB conduct a review of the information obtained to ensure the following:		

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<ul style="list-style-type: none"> a) Information about the client and the product is sufficient for the conduct of the certification process; b) Any Known difference in understanding between the CB and the client is resolved, including agreement regarding standards and other normative documents; c) Scope of certification defined; d) Means available to perform all evaluation activities; e) CB has the competence and capability to perform the certification activity; 		
<p>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)</p>		

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<p>7.3.3 How the CB ensure that it has the competence and capability for all the certification activities to undertake?</p> <p>Does the CB maintain a record of the justification for the decision to undertake certification?</p>		
<p>7.3.4 Does the CB decline to undertake a specific certification if it lacks any competence or capability for the certification activities?</p>		
<p>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?</p> <p>If requested by the client, does the CB provide justification for omission of activities?</p>		

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7.4 Evaluation		
7.4.1 Does the CB have a plan for the evaluation activities to allow for the necessary arrangements? (see Note)		
7.4.2 Does the CB assign personnel to perform each evaluation task that it undertakes with its internal resources (see 6.2.1)?		
7.4.3 Does the CB ensure that all necessary information and/or documentation is made available for performing the evaluation tasks?		
7.4.4 Does the CB carry out the evaluation activities with its internal resources (see 6.2.1) and manage outsourced resources (see 6.2.2) in accordance with the evaluation plan (see 7.1.4)?		

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Does the CB evaluate the products against the requirements covered by the scope of certification and other requirements specified in the certification scheme?		
7.4.5 Does the CB 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 in 6.2.2 and those specified by the certification scheme?		
7.4.6 Does the CB inform the client of all nonconformities?		
7.4.7 Does the CB provide information regarding additional tasks needed to verify that nonconformities have been corrected?		

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7.4.8 If the client agrees to completion of additional task, does the process specified in 7.4 be repeated to complete the additional evaluation tasks?		
7.4.9 Does the CB document the results of all evaluation activities prior to review (see 7.5)?		
7.5 Review		
7.5.1 Does the CB assign person to review all information and results related to the evaluation? How many? Have they been involved in the evaluation process?		
7.5.2 Does the CB document recommendations for a certification decision?		

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7.6 Certification decision		
7.6.1 How does the CB take its decision relating to certification?		
7.6.2 Does the CB assign person to make the certification decision? How many? (see 5.1.4) Have they been involved in the process of evaluation (see 7.4)?		
7.6.3 Does the person(s) assigned by the CB to make a certification decision employed by, or under contract with one the following: - The CB (see 6.1); or - An entity under the organizational control of the CB?		
7.6.4 Does the CB's organizational control one of the following:		

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<ul style="list-style-type: none"> - Whole or majority ownership of another entity by the CB; - Majority participation by the CB on the board of directors of another entity; - A documented authority by the CB over another entity in a network of legal entities (in which the CB resided) linked by ownership or board of director control? 		
7.6.5 Does the persons employed by, or under contract with, entities under organizational control, fulfil the same requirements specified in this international standard?		
7.6.6 Does the CB notify the client of a decision not to grant certification? Does the CB identify the reasons for the decision?		
7.7 Certification documentation		

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<p>7.7.1 Does the CB provide the client with formal certification documentation as follows:</p> <ul style="list-style-type: none"> a) The name and address of CB; b) The date certification is granted; c) The name and address of the client; d) The scope of certification; e) The term of expiry date of certification; f) Any other information required by the certification scheme? 		
<p>7.7.2 Does the formal certification documentation include the signature, or other defined authorization of the person(s) of the CB assigned for this responsibility?</p>		
<p>7.7.3 Does the CB issue after, or concurrent with the following the formal certification documentation:</p> <ul style="list-style-type: none"> a) The decision to grant or extend the scope of certification (see 7.6.1) has been made; 		

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b) Certification requirements have been fulfilled; c) The certification agreement completed/signed?		
7.8 Directory of Certified Products		
Does the maintain information on certified products which contains at least the following: a) Identification of the product; b) The standard(s) and other normative document(s) to which conformity has been certified; c) Identification of the client? (See Note).		
7.9 Surveillance		
7.9.1 If surveillance is required by the certification scheme, or as specified in 7.9.3 or 7.9.4, does the CB initiate surveillance of the product(s) covered by the certification decision in accordance with the certification scheme?		

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7.9.2 When surveillance utilizes evaluation, review or a certification decision, does the requirements in 7.4, 7.5 or 7.6 respectively be fulfilled?		
7.9.3 When use of a certification mark is authorized for placement on a product (or its packaging, or information accompanying it), does the CB establish surveillance and include periodic surveillance of marked products to ensure ongoing validity of the demonstration of fulfillment of product requirements?		
7.9.4 When continuing use of a certification mark is authorized for a process or service, does the CB establish surveillance and include periodic surveillance to ensure ongoing validity of the demonstration of fulfillment of process or service requirements?		
7.9.10 Changes affecting certification		

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<p>7.10.1 when the certification scheme introduces new or revised requirements that affect the client,</p> <ul style="list-style-type: none"> - Does the CB ensure that these changes are communicated to all clients? - Does the CB verify implementation of the changes by its clients and take actions required by the scheme? 		
<p>7.10.2 Does the CB consider other changes affecting certification, including changes initiated by the client?</p> <p>Does the CB decide upon the appropriate action?</p>		
<p>7.10.3 Do the actions to implement changes affecting certification include, if required, the following:</p> <ul style="list-style-type: none"> - Evaluation (see 7.4); - Review (see 7.5); - Decision (see 7.6); 		

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<ul style="list-style-type: none"> - Issuance of revised formal certification documentation (see 7.7) to extend or reduce the scope of certification; - Issuance of certification documentation of revised surveillance activities (if surveillance is part of the certification scheme) 		
7.11 Termination, Reduction, Suspension or Withdrawal of Certification		
7.11.1 When a nonconformity with certification requirements is substantiated, either as a result of surveillance or otherwise, does the CB consider and decide upon the appropriate action? (see Note)		
7.11.2 When the appropriated action includes evaluation, review or a certification decision, are the requirements of this international standard fulfilled?		
7.11.3 if certification is terminated (by request of the client), suspended or withdrawn, does the CB take		

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<p>actions specified by the certification scheme and make all necessary modifications to formal certification documents, public information, authorizations for use, etc. in order to ensure that it provides no indication that the product continue to be certified?</p> <p>If a scope of certification is reduced, does the CB take actions specified by the certification scheme and make all necessary modifications to formal certification documents, public information, authorizations for use, etc. in order to ensure that the reduced scope of certification is clearly communicated to the client and clearly specified in certification documentation and public information?</p>		
<p>7.11.4 If certification is suspended, does the CB assign one or more persons to formulate and communicate the following to the client:</p> <ul style="list-style-type: none"> - Actions needed to end suspension and restore certification in for the product(s) in accordance with the certification scheme; - Any other actions required by the certification scheme. <p>Are the assigned person(s) competent in their knowledge and understanding of all aspects of the handling of suspended certifications (see 6.1)?</p>		

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<p>7.11.15 Are any evaluations, reviews or decisions needed to resolve the suspension, or that are required by the certification scheme, completed in accordance of the requirements of this international standard?</p>		
<p>7.11.16 If certification is reinstated after suspension, does the CB, does the CB make all necessary modifications to formal certification documents, public information, authorizations for use, etc. in order 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, does the CB make all necessary modifications to formal certification documents, public information, authorizations for use, etc. in order to ensure the reduced scope of certification is clearly communicated to the client and clearly specified in certification documentation and public information?</p>		

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7.12 Records		
7.12.1 Does the CB retain records to demonstrate that all certification process requirements have been fulfilled (see 8.4)?		
7.12.2 Does the CB keep records confidential? How do the CB transport, transmit and transfer records?		
7.12.3 If the certification scheme involves complete re-evaluation of the product(s) within a determined cycle, does the CB retain the records at least for the current and the previous cycle? Or for how long the CB retain records?		
7.13. Complaints and Appeals		
7.13.1 Are processes documented to receive, evaluate and make decisions on complaints and appeals?		

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How does the CB record and track complaints and appeals and actions undertaken to resolve them?		
7.13.2 Does the CB confirm the relevance of complaints or appeals pertaining to certification activities for which it is responsible for and how does the CB address it?		
7.13.3 How does the CB acknowledge receipt of a formal complaint and appeal?		
7.13.4 Is the CB responsible for gathering and verifying all necessary information (to the extent possible) to progress the complaint or appeal to a decision?		
7.13.5 How is the decision resolving the complaint or appeal made by, or reviewed and approved by, person(s) not involved in the certification activities related to the complaint or appeal?		

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7.13.6 How does the CB ensure that there is no conflict of interest introduced during the complaints and appeals handling process whereby personnel previously employed by the client or involved in consultancy work are not used by the CB to review or approve the resolution of a complaint or appeal?		
7.13.7 How does the CB give formal notice of the outcome and end of the complaint process to the complainant?		
7.13.8 How does the CB give formal notice of the outcome and end of the appeal process to the appellant?		
7.13.9 How does the CB take any needed subsequent action to resolve the complaint and appeal?		

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8. MANAGEMENT SYSTEM REQUIREMENTS		
8.1 Options		
How does the CB ensure the management system requirements in the international standard is consistently fulfilled in accordance with either Option A (Clause 8.2 to 8.8) or Option B (ISO 9001 requirements)?		
8.2 General Management System Documentation (Option A)		
8.2.1 How does the CB's top management establish, document and maintain policies and objectives for fulfilment of this international standard and the certification scheme and how does it ensure the policies and objectives are acknowledge and implemented at all levels of the CB's organization?		
8.2.2 How does the CB's top management provide evidence of its commitment to the development and		

ISO/IEC 17065 REQUIREMENTS	CAB's COMMENTS	COMMENTS BY ASSESSOR
implementation of the management system and its effectiveness in achieving fulfilment of this international standard?		
8.2.3 Has a member of management been appointed by top management to take responsibility for: <ul style="list-style-type: none"> a) Ensuring that processes and procedures needed for the management system are established, implemented and maintained; b) Reporting to top management on the performance of the management system and any need for improvement; 		
8.2.4 Are all documentation, processes, systems, records, etc. related to the fulfilment of the requirements of this international standard included, referenced, or linked to the documentation of the management system?		

ISO/IEC 17065 REQUIREMENTS	CAB's COMMENTS	COMMENTS BY ASSESSOR
8.2.5 Do all personnel involved in certification activities have access to the parts of the management system documentation and related information that is applicable to their responsibilities?		
8.3 Control of Documents (Option A)		
<p>Has the CB established procedures to control the documents (Internal and external) that relate to the fulfillment of this international standard?</p> <p>Do the procedures define the controls needed for:</p> <ul style="list-style-type: none"> 1- Approval prior to issue; 2- Review and re-approval of documents; 3- Revision status identified; 4- Availability; 5- Documentation legible and identifiable; 6- Documentation of external origin identified and distribution controlled; 		

ISO/IEC 17065 REQUIREMENTS	CAB's COMMENTS	COMMENTS BY ASSESSOR
7- Obsolete documentation maintained as to prevent unintended use.		
8.4 Control of Records (Option A)		
8.4.1 Has the CB established procedures to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of its records related to the fulfilment of this international standard?		
8.4.2 Has the CB established procedures for retaining records for a period consistent with its contractual and legal obligations?		
8.5 Management Review (Option A)		
8.5.1 General		
8.5.1.1 Has the CB's top management established procedures to review its management system at planned intervals to ensure its continuing suitability, adequacy and effectiveness, including the stated policies and		

ISO/IEC 17065 REQUIREMENTS	CAB's COMMENTS	COMMENTS BY ASSESSOR
<p>objectives related to the fulfillment of this international standard?</p> <p>8.5.1.2 Are these reviews conducted at least once a year or review broken up into segments completed within a 12 month time frame?</p> <p>Does the CB maintain records of such reviews?</p>		
<p>8.5.2 Review Inputs</p> <p>How does the input to the management review include information related to:</p> <ul style="list-style-type: none"> a) Results of internal and external audits; b) Feedback from clients and interested parties related to the fulfilment of this international standard; c) Feedback from the mechanism for safeguarding impartiality; d) The status of preventive and corrective actions; e) Follow up actions from previous management reviews; f) The fulfilment of objectives; 		

ISO/IEC 17065 REQUIREMENTS	CAB's COMMENTS	COMMENTS BY ASSESSOR
g) Changes that could affect the management system; and h) Appeals and complaints.		
8.5.3 Review Outputs How do the outputs from the management review include decisions and actions related to: a) Improvement of the effectiveness of the management system and its processes; b) Improvement of the CB related to the fulfilment of this international standard; c) Resources needs?		
8.6 Internal Audits (Option A)		
8.6.1 How does the CB establish procedures for internal audits to verify that it fulfils the requirements of this international standard and that the management system is effectively implemented and maintained?		

ISO/IEC 17065 REQUIREMENTS	CAB's COMMENTS	COMMENTS BY ASSESSOR
<p>8.6.2 Is an audit program planned taking into consideration the importance of the processes and areas to be audited, as well as the results of previous audits?</p>		
<p>8.6.3 Does the CB perform internal audits at least once a year or, review broken up into segments (or rolling internal audits) completed within a 12 month time frame?</p> <p>Are procedures in place that addresses the changing of frequency of internal audits performed (without affecting the effectiveness of the management system)?</p> <p>Are records of decisions taken to change the frequency of internal audits maintained?</p>		
<p>8.6.4 How does the CB ensure that:</p> <ul style="list-style-type: none"> a) Internal audits are conducted by personnel; knowledgeable in certification, auditing and the requirements of this international standard; b) Auditors don't audit their work; 		

ISO/IEC 17065 REQUIREMENTS	CAB's COMMENTS	COMMENTS BY ASSESSOR
<p>c) Personnel responsible for the area audited are informed of the outcome of the audit;</p> <p>d) Any actions resulting from internal audits are taken in a timely and appropriate manner;</p> <p>e) Any opportunities for improvement are identified?</p>		
8.7 Corrective Actions (Option A)		
8.7.1 How does the CB establish procedures for identification and management of nonconformities in its operations?		
8.7.2 How does the CB take actions to eliminate the causes of nonconformities in order to prevent recurrence?		
8.7.3 Are corrective actions appropriate to the impact of the problems encountered?		

ISO/IEC 17065 REQUIREMENTS	CAB's COMMENTS	COMMENTS BY ASSESSOR
<p>8.7.4 Do the procedures for corrective actions define requirements for:</p> <ul style="list-style-type: none"> a) Identification of nonconformities; b) Determination of the nonconformity cause; c) Correcting of nonconformities; d) Evaluating the need for actions to ensure that nonconformities do not reoccur; e) Determining and implementing actions needed in a timely manner; f) Recording of results of actions taken; g) Reviewing the effectiveness of corrective actions 		
8.8 Preventive Actions (Option A)		
<p>8.8.1 How does the CB establish procedures for taking preventive actions to eliminate the causes of potential nonconformities?</p>		

ISO/IEC 17065 REQUIREMENTS	CAB's COMMENTS	COMMENTS BY ASSESSOR
8.8.2 Are preventive actions taken appropriate to the probable impact of the potential problems?		
8.8.3 Do the procedures for preventive actions define requirements for: <ul style="list-style-type: none"> a) Identifying potential nonconformities and their causes; b) Evaluating the need for action to prevent the occurrence of nonconformities; c) Determining and implementing the action needed; d) Recording the results of actions taken; e) Reviewing the effectiveness of the preventive actions taken; 		

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

Review of additional documents. Comment on adequacy

Additional /General Comments (This space may be used for General Comments in the case of Document Review)

Below are some examples of general comments for different situations encountered. Follow your instincts and use these general comments to highlight areas you feel may require specific attention.

Example 1:

This could be where you notice from the application form or date on documents that the system has only been documented/implemented for a short period of time. Or where it is clear that there is no clear direction given in the documentation, no “hows” described.

Please note that for the initial assessment sufficient records generated by the system must be available to demonstrate implementation of the system to give confidence that the CAB can consistently operate in accordance with the relevant requirements.

Example 2:

Quality documentation is meant to be of benefit to a CAB. The Policies set by management give the overall direction of the CAB. The Objectives are always in line with the policies, usually measurable by some means, more specific to areas and may change. The Procedures are the instruction manual defining how the CAB operates to enable it to achieve the set objectives and thus continue moving in the planned direction as defined by the policies.

Example 3:

Although the documentation submitted appeared to be written in accordance with the Standard, there was very little direction given to the user thereof. Statements of fact were generally made but detail on how the CAB was to achieve these requirements was lacking.

Example 4:

The specific notes made during the evaluation are not necessarily non-compliances, but sometimes areas of lack of clarity that could become obvious during the on-site assessment.

Example 5:

The documentation submitted was deemed to be assessable and appeared to be in general compliance with the requirements of ISO/IEC 17065. Whether the CAB's actual operational procedures are reflected in the Quality documentation can only be determined on-site at the initial assessment.

Example 6:

Use of terms that are open to interpretation, such as “where appropriate” and “if possible”, are not suitable as they do not give clear direction to the user to ensure consistency within the CAB.

Be wary of stating that the manual is excellent / in full compliance with the standard as this may cause problems when the site visit reveals weaknesses overlooked during the doc review.

1. RECOMMENDATION (delete inapplicable)

Example 1:

The deviations listed should be incorporated into the quality manual, after which an initial assessment of the CAB may be arranged.

Example 2:

The manual requires revision and re-submission for evaluation, after which an initial assessment of the CAB may be arranged.

NOTE: Where the recommendation is not to proceed with further assessment, this must be clearly justified.

NOTE 2: If there is evidence of fraudulent behaviour, if the CAB intentionally provides false information or if the CAB conceals information, please contact the Accreditation Manager immediately to reject the application or terminate the assessment process.

Signed: Team Leader /Technical Assessor		Date:

REVIEW OF ADDITIONAL DOCUMENTS

Comments on adequacy:

<p>Reviewer Name:</p> <p>_____</p>	<p>Date:</p> <p>_____</p>
<p>Review Signature:</p> <p>_____</p>	
<p>Document Review Report Checked by (SC/TM)</p>	<p>Date:</p>
<p>Signed by Checker</p> <p>_____</p>	<p>Comments of Checker:</p>