

SADCAS Ref. No:

## ISO/IEC 17021-1:2015 - Vertical Assessment

Date :						
Assessor:						
Organization :						
Area/Field of Operation:	QMS	EMS	OHSMS	FSMS	Other? HACCP/BRC	
Organization's Representative:						
<b>REQUIREMENTS AND COMMENTS</b> NB: Indicate <b>WHAT</b> has been checked and <b>HOW</b> requirements have been implemented. The order of assessment need not follow the order of the completion of this form. Assessors are expected to know & have the standard, this form is designed as guidance to prompt detailed recording of the process. <b>Refer to the relevant IAF mandatory document for detail and for clarification notes.</b>						
<b>9.1.10 Audit Report sampled</b> Please use one (1) form for each file assessed. Record at least the NACE Code, date, auditor detail and the accredited parameters as on the Accreditation Schedule.						
Name and Address of Client						
Location of Sites Audited						
Management Representative of the Client						
Type of audit:	Stage 1		Stage 2		Surveillance	
					Re-assessment	
					Other?	
Certification date					1 <sup>st</sup> Surveillance date	
2 <sup>nd</sup> Surveillance date					Re-certification date	
Audit date						
Description of Economic Sector/Activity						

**IAF CODE/NACE CODE/EAC Code/Other:**

<b>Number of clients for the Code</b>	
<b>Name of audit team leader responsible for report</b>	
<b>Audit team members, Observers and Guides</b>	
<b>Audit findings, evidence and conclusions, consistent with the type of audit</b>	
<b>Unresolved issues</b>	
<b>Resource requirements</b>	<b>7</b>
<b>Competence of personnel</b>	<b>7.1</b>
<b>General considerations</b>	7.1.1
Does a CB have a process to ensure that personnel have appropriate knowledge and skills relevant to the types of management systems and geographical areas in which it operates?	
<b>Determination of competence criteria</b>	7.1.2
Is competence required for each technical area and for each function in the certification activity determined for each technical area?	
Is the means for the demonstration of competence determined?	
Are competence requirements determined for all CB personnel and is this as per documented process?	
Is the documented process as per certification scheme? <ul style="list-style-type: none"> <li>- ISO/IEC TS 17021-3 (QMS) – <b>Annexure A</b></li> <li>- ISO/IEC TS 17021-2 (EMS) – <b>Annexure B</b></li> <li>- ISO/IEC TS 17021-10 (OHMS) – <b>Annexure C</b></li> <li>- ISO 22003-1 (FSMS) – <b>Annexure D</b></li> </ul> (See applicable Annexures in F40a)	
<b>Evaluation processes</b>	7.1.3
Does the CB have documented processes for the initial competence evaluation and on-going monitoring of competence and performance of all personnel involved in the management and performance of audits and certification?	
Are these methods effective?	
<b>Other considerations</b>	7.1.4

Does the CB have access to the necessary technical expertise for technical areas, types of management system and geographic areas in which it operates?	
<b>Personnel involved in the certification Activities</b>	<b>7.2</b>
Does the CB as part of its own organization. have personnel with sufficient competence for managing the type and range of audit programmes and other certification work performed?	7.2.1
Does the CB employ or have access to a sufficient number of auditors including audit team leaders and technical experts to cover all activities and volume of work?	7.2.2
Does the CB make clear to each person concerned duties, responsibilities and authorities?	7.2.3
Does the CB have defined processes for:	7.2.4
<ul style="list-style-type: none"><li>Selecting</li></ul>	
<ul style="list-style-type: none"><li>Training</li></ul>	
<ul style="list-style-type: none"><li>Formally authorizing auditors and</li></ul>	
<ul style="list-style-type: none"><li>Selecting technical experts?</li></ul>	
Does the initial competence evaluation of an auditor include the ability to apply required knowledge and skill during audits, as determined by a competent evaluator observing (witnessing) the auditor conducting an audit?	
Does the CB 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?	7.2.5
Are auditors and technical experts knowledgeable of the CB's audit processes, certification scheme and its requirements and other relevant requirements?	7.2.6
Does the CB give auditors and technical experts access to an up-to-date set of documented procedures giving audit instructions and all relevant information on the certification activities?	
Are auditors and technical experts used in these activities where they have demonstrated competence?	7.2.7
Are training needs identified for functions performed?	
Where there is need, is training offered or provided?	
Are person(s) taking the certification decisions knowledgeable on the:	7.2.8
<ul style="list-style-type: none"><li>applicable standard;</li></ul>	
<ul style="list-style-type: none"><li>certification requirements;</li></ul>	
<ul style="list-style-type: none"><li>have demonstrated competence to evaluate the audit processes; and related recommendations of the audit team?</li></ul>	
Does documented procedures and criteria for monitoring and measurement of performance of all personnel exist?	7.2.9
Competence reviewed to identify training needs?	
Does the CB monitor each auditor considering each type of management system? The documented monitoring process shall include a combination of onsite evaluation, review of audit reports and feedback from clients or from market.	7.2.10
Does the CB periodically observe the performance of each auditor on-site? Is the frequency of on-site observations based on need determined from all monitoring information available?	7.2.11

<b>Use of individual external auditors and external technical experts</b>	<b>7.3</b>
Does a CB have a written agreement with external auditors and external technical experts in place by which they commit themselves to comply with applicable policies and procedures as defined?	
Does the agreement address all relevant aspects?	
<b>Personnel records</b>	<b>7.4</b>
Does the CB maintain up-to-date personnel records including:	
• Relevant qualifications;	
• Training;	
• Experience;	
• Affiliations;	
• Professional status; and	
• Competence?	
Does this include management and administrative personnel in addition to those performing certification activities?	
<b>Outsourcing</b>	<b>7.5</b>
Does the CB have a process in which it describes the conditions under which outsourcing may take place?	7.5.1
Legally enforceable agreement with each body that provides outsourced services?	
<b>See Notes</b>	
Is the CB outsourcing certification decisions?	7.5.2
Does the CB:	7.5.3
a) take responsibilities for all activities outsourced?	
b) ensure that the body that provides outsources activities:	

<ul style="list-style-type: none"> <li>conform to the CB's requirements</li> </ul>	
<ul style="list-style-type: none"> <li>conforms to the applicable provisions of this international standard including competence, impartiality and confidentiality?</li> </ul>	
c) ensure that the outsourced services are not involved in any way that impartiality could be compromised?	
Documented procedures for the qualification and monitoring of all outsourced services used for certification activities?	7.5.4
Records of the competence of auditors and technical experts maintained?	
<b>See Notes</b>	
<b>Application for Certification</b>	<b>9.1.1</b>
<p>Does the application cover the following:</p> <ul style="list-style-type: none"> <li>a) Scope of certification?</li> <li>b) General features: i.e. legal status and obligations, name, address, physical</li> <li>c) Locations, significant aspects?</li> <li>d) General information for the field of certification, activities, human and technical resources, functions and relationship in a larger cooperation if any?</li> <li>e) Outsourced processes?</li> <li>f) Standard or other requirements for which standard is sought?</li> <li>g) Consultancy used?</li> </ul>	

<b>Application Review</b>	<b>9.1.2</b>
Application Reviewer: Skills and knowledge	9.1.2.1
<p>CB review to ensure:</p> <ul style="list-style-type: none"> <li>a) Information sufficient for Certification?</li> <li>b) CB's requirements for Certification defined, documented and provided?</li> <li>c) Differences resolved?</li> <li>d) CB's competence and ability to perform the certification activity confirmed?</li> <li>e) Scope, locations, time required confirmed and influences?</li> </ul> <p>Following the review of the application, does the CB either accept or decline an application for certification</p> <p>When the CB declines an application, does the CB document the reasons for declining an application and make clear to the client?</p> <p>Based on the review of the application, does the CB determine the competences it needs to include in its audit team and for the certification decision?</p> <p><b>Audit programme</b></p> <p>Is the audit programme for the full certification cycle developed and does it clearly identify the audit activity(ies) required for certification to the selected standard(s) or other normative documents?</p> <p>Does the audit programme include a two-stage initial audit, surveillance audits in the 1st and 2nd years and a re-certification audit in the 3rd year prior to expiration of certification? (The certification cycle begins with the certification or recertification decision). See 9.6.3.2.3</p> <p><b>See Notes 1,2,3</b></p> <p>Does the CB conduct surveillance audits at least once a calendar year, except in recertification years.</p> <p>Does the CB ensure that the first surveillance audit following the initial certification is carried out not more than 12 months from the decision date?</p> <p>Where a CB is taking account of certification or other audits already granted to the customer, does it collect sufficient, verifiable information to justify and record any adjustments to the audit programme?</p> <p>Where the client operates shifts, does the CB consider activities that take place during shift working when developing the audit programme and audit plans?</p> <p>Documented procedure for audit time? Aspects a) to f) taken into consideration</p> <ul style="list-style-type: none"> <li>• QMS/ EMS/ OHSMS: Auditor time based on IAF MD 5?</li> <li>• FSMS: Auditor time based on ISO 22003-1</li> <li>• Other: Auditor time based on standard requirements?</li> </ul>	<p>9.1.2.2</p> <p>9.1.2.3</p> <p>9.1.3</p> <p>9.1.3.1</p> <p>9.1.3.2</p> <p>9.1.3.3</p> <p>9.1.3.4</p> <p>9.1.3.5</p> <p>9.1.4</p>
<b>Multisite sampling</b>	<b>9.1.5</b>

Multi-site sampling plan in place as per IAF MD 1?	
Rationale for sampling plan documented?	
Does the CB have a sampling programme?	
Are specific certification schemes requirements for sampling followed?	
<b>Multiple Management System standards</b>	<b>9.1.6</b>
Where the CB provides certification to multiple management system standards, is planning of the audit done in a manner to ensure adequate on site auditing	
<b>Determining audit objectives, scope and criteria</b>	<b>9.2.1</b>
Does the CB determine the audit objectives?	9.2.1.1
Is the audit scope and criteria including changes established by the CB after discussions with the client?	
Are audit objectives describing what is to be accomplished by the audit and does it include the following:	9.2.1.2
a) determination of the conformity of the client's management system, or parts of it, with the audit criteria	
b) evaluation of the ability of the management system to ensure the client organization meets applicable statutory, regulatory and contractual requirements. <b>See note.</b>	
c) evaluation of the effectiveness of the management system to ensure the client organization is continually meeting its specified objectives	
d) as applicable, identification of areas of potential improvement of the management system	
Does the audit scope describe the extent and boundaries of the audit? Where the initial or re-certification process consists of more than one audit, are total audits consistent with the scope in the certification?	9.2.1.3
Is the audit criteria used as a reference against which conformity is determined and does it include:	9.2.1.4
<ul style="list-style-type: none"> <li>The requirements of a defined normative document on management systems</li> </ul>	
<ul style="list-style-type: none"> <li>The defined processes and documentation of the management system developed by the client</li> </ul>	

<b>Audit team selection and assignments</b>	<b>9.2.2</b>
Process in place for selecting and appointing the audit team taking into account the competence needed to achieve the objectives of the audit?	9.2.2.1.1
Where there is only one auditor, is the auditor competent to perform?	
In deciding the size and composition of the audit team was the following considered:	9.2.2.1.2
a) audit objectives, scope, criteria and estimated time of the audit	
b) whether the audit is a combined, integrated or joint audit	
c) the overall competence of the audit team needed to achieve the objectives of the audit	
d) certification requirements (including any applicable statutory, regulatory or contractual requirements?	
e) Language and culture. <b>See note.</b>	
Where the necessary knowledge and skill of the audit team leader and auditors was supplemented by technical experts, translators and interpreters, were they selected such that they do not unduly influence the audit?	9.2.2.1.3
<b>See Note</b>	
Where auditors-in-training are included in the audit team as participants, was an evaluator appointed?	9.2.2.1.4
Was the evaluator competent to take over the duties and have final responsibility for the activities and findings of the auditor-in-training?	
Does the audit team leader, in consultation with the audit team assign to each team member responsibility for specific processes, functions, sites, areas or activities and are such assignments taking into account the need for competence?	9.2.2.1.5
Were changes to assignments made to ensure achievement of the audit objectives?	
<b>Observers, technical experts and Guides</b>	9.2.2.2
<b>Observers</b>	9.2.2.2.1
Prior to the conduct of the audit does the client agree to the presence and justification of observers during an audit activity? <b>See Note</b>	
<b>Technical experts</b>	9.2.2.2.2
Prior to the conduct of the audit does the client agree to the presence and justification of technical experts during an audit activity?  <b>See Note</b>	
<b>Guides</b>	9.2.2.2.3
Is each auditor accompanied by a guide, unless otherwise agreed to by the audit team leader and the client?	



Does the audit team ensure that guides do not influence or interfere in the audit process or outcome of the audit?  <i>See Notes 1,2</i>	
<b>Audit plan</b>	<b>9.2.3</b>
Does the CB establish an audit plan prior to audit?	9.2.3.1
Is the audit plan appropriate to the objectives and scope of the audit? Does it cover items a) to f)?	9.2.3.2
Are tasks given to the audit team defined? Are items a) to d) covered?	9.2.3.3
Does the CB communicate the audit plan and agree in advance the audit dates with the client?	9.2.3.4
Does the CB provide the name of, and when required make available the background information on each member of the audit team with sufficient time for the client to object?	9.2.3.5

<b>Initial Certification Audit</b>	<b>9.3.1</b>
<b>Stage 1 Audit</b>	9.3.1.2
Stage 1 Audit activities. Were the following covered during Stage 1 audit?	9.3.1.2.2
<ul style="list-style-type: none"> <li>a) Audit client's management system documentation;</li> <li>b) Evaluate the client's location and site-specific conditions and to determine the preparedness for the stage 2 audit;</li> <li>c) Review the client's understanding of requirements;</li> <li>d) Collect necessary information regarding the scope, processes, applicable statutory and regulatory requirements and location(s) of the client and related;</li> <li>e) Review the allocation of resources for stage 2;</li> <li>f) Provide a focus for planning the stage 2;</li> <li>g) Evaluate the internal audits and management review, planned and performed the implementation of the management system and readiness for the stage 2 audit.</li> </ul>	
Documented conclusions, audit findings and evidence of communication to client including areas of concern?	9.3.1.2.3
Determination of interval between Stage 1 and Stage 2? Customer needs to resolve areas of concern given consideration?	9.2.3.1.3
<b>Stage 2 Audit</b>	9.3.1.3
Does the CB carry out stage 2 at the client's site?	
Were the following covered during Stage 2 audit?	
<ul style="list-style-type: none"> <li>a) Information and evidence on conformity to all requirements, management system standard and other normative document?</li> <li>b) Performance monitoring, measuring, reporting and reviewing against key performance objectives and targets?</li> <li>c) The client's management system and performance as regard legal compliance?</li> <li>d) Operational control?</li> <li>e) Internal auditing and management review?</li> <li>f) Management responsibility for the client's policies?</li> </ul>	

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<b>Initial Certification Audit Conclusions</b> Evidence that the audit team analyzed all information: Stage 1 and Stage 2; and agreed on the audit conclusion?	<b>9.3.1.4</b>
<b>Conducting audits</b>	<b>9.4</b>
<b>General</b>	<b>9.4.1</b>
On-site audits?	
Does the process include opening meeting at the start of the audit and closing meeting at the conclusion of the audit?	
Where any part of the audit is made by electronic means or where the site to be audited is virtual, does the CB ensure that such activities are conducted by personnel with appropriate competence. <i>See Note</i>	
<b>Conducting the opening meeting</b>	<b>9.4.2</b>
Does the audit team have a formal opening meeting with the client's management and those responsible for the functions or processes to be audited?	
Is the opening meeting conducted by the Lead auditor?	
Are audit activities explained including the following:	
a) Introduction of the participants including an outline of their roles;	
b) Confirmation of the scope of certification; (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 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 audit team are available;	
f) Confirmation of matters relating to confidentiality	
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 CB is responsible for the audit and shall be in control of executing the audit plan including audit activities and audit trails;	

l) confirmation of the status of findings of the previous review or audit, if applicable;	
m) methods and procedures to be used to conduct the audit based on sampling;	
n) confirmation of the language to be used during the audit;	
o) confirmation that during the audit the client will be kept informed of audit progress and any concerns; and	
p) opportunity for the client to ask questions.	
<b>Communication during the audit</b>	<b>9.4.3</b>
During the audit does the audit team periodically assess audit progress and exchange information and does the team leader re-assign work as needed between the audit team members and periodically communicate the progress of the audit and any concerns to the client?	<b>9.4.3.1</b>
Does the audit team leader report to the client and where possible to the CB the presence of an immediate and significant risk (e.g. safety)?	<b>9.4.3.2</b>
Is the outcome of the action taken reported to the CB?	
Does the 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 CB?	<b>9.4.3.3</b>
<b>Obtaining and verifying information</b>	<b>9.4.4</b>
Is information relevant to the audit objective, scope and criteria obtained by appropriate sampling and verified to become audit evidence?	<b>9.4.4.1</b>
Are methods to obtain information included?	<b>9.4.4.2</b>
a) interviews	
b) observation of processes and activities	
c) review of documentation and records	
<b>Identifying and recording audit findings</b>	<b>9.4.5</b>
Are audit findings summarizing conformity and detailing nonconformity audits and its supporting evidence recorded and reported?	<b>9.4.5.1</b>
Where opportunities for improvement are not prohibited by the requirements of a management system scheme, are they identified and recorded?	<b>9.4.5.2</b>
Is a finding of non-conformity recorded against a specific requirement of the audit criteria and does it contain a clear statement of the non-conformity and identify in detail the objective evidence on which the non-conformity is based?	<b>9.4.5.3</b>

Are non-conformities discussed with the client to ensure that the evidence is accurate and that the non-conformities are understood	
Does the audit team leader attempt to resolve any diverging opinions between the audit team and the client concerning audit evidence on findings and are unresolved points recorded?	<b>9.4.5.4</b>
<b>Preparing audit conclusions</b>	<b>9.4.6</b>
Prior to the closing meeting does the audit team:	
<ul style="list-style-type: none"> <li>review the audit findings and any other appropriate information collected during the audit against the audit objectives.</li> </ul>	
<ul style="list-style-type: none"> <li>agree upon the audit conclusions taking into account the uncertainty inherent in the audit process.</li> </ul>	
<ul style="list-style-type: none"> <li>identify any necessary follow-up actions.</li> </ul>	
<ul style="list-style-type: none"> <li>confirm the appropriateness of the audit programme or identify any modification required (e.g. scope, audit time or dates, surveillance frequency, competence).</li> </ul>	
<b>Conduct the closing meeting</b>	<b>9.4.7</b>
Does the team hold a formal closing meeting with management and are nonconformities presented in such a manner that they are understood, and are timeframes for responding agreed? Is attendance recorded?	<b>9.4.7.1</b>
Does the closing meeting include the following:	<b>9.4.7.2</b>
<ul style="list-style-type: none"> <li>advising the client that the audit evidence obtained was based on sample of the information, thereby introducing an element of uncertainty;</li> </ul>	
<ul style="list-style-type: none"> <li>the method and timeframe of reporting including any grading of audit findings;</li> </ul>	
<ul style="list-style-type: none"> <li>the certification body's process for handling nonconformities including any consequences relating to the status of the client's certification;</li> </ul>	
<ul style="list-style-type: none"> <li>the timeframe for the client to present a plan for correction and corrective action for any nonconformities identified during the audit;</li> </ul>	
<ul style="list-style-type: none"> <li>the CB's post audit activities; and</li> </ul>	
<ul style="list-style-type: none"> <li>information about the complaint handling and appeal processes.</li> </ul>	
Is the client given opportunity for questions?	<b>9.4.7.3</b>
Are diverging opinions regarding the audit findings or conclusions discussed, resolved where possible?	
Are unresolved diverging opinions recorded and referred to the CB?	
<b>Audit report</b>	<b>9.4.8</b>
Does the CB provide a written report for each audit and is ownership of the report maintained by the CB?	<b>9.4.8.1</b>

If the audit team identifies opportunities for improvement, do they recommend specific solutions?	
Does the team leader ensure that the report is prepared and takes responsibility of the content of the report?	<b>9.4.8.2</b>
Does the report provide accurate, concise and clear record of the audit and does it include the following:	
a) identification of the certification body;	
b) name and address of the client's management representative;	
c) type of audit (e.g. initial, surveillance or recertification or special audits;	
d) audit criteria;	
e) audit objectives;	
f) 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) dates and places where the audit activities (on-site or offsite) were conducted;	
k) audit findings, evidence and conclusions, consistent with the requirements of the type of audit;	
l) significant changes affecting 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) disclaimer statement indicating that auditing is based on a sampling process of the available information;	
p) recommendation from the audit team;	
q) audited client effectively controlling the use of certification documents and marks, if applicable; and	
r) verification of effectiveness of corrective taken regarding previously identified nonconformities, if applicable.	
Does the audit report contain the following:	<b>9.4.8.3</b>
a) Statement on the conformity and effectiveness of the management system together with a summary of the evidence relating to the capability of the management system to meet applicable and expected outcomes, the internal audit and management review process;	
b) Conclusion on the appropriateness of the certification scope; and	
c) Confirmation that the audit objectives have been fulfilled.	
<b>Cause analysis of nonconformities</b>	<b>9.4.9</b>
Does the CB require the client to analyse the cause and describe the specific correction and corrective actions taken or planned to be taken to eliminate detected non-conformities within a define timeline?	

<b>Effectiveness of corrections and corrective actions</b>	<b>9.4.10</b>
Does the CB review the corrections, identified causes and corrective actions submitted by the customer to determine if these are acceptable?	
Does the CB verify the effectiveness of any correction and corrective action taken?	
Is the evidence obtained to support the resolution of non-conformities recorded?	
Does the client get informed of the result of the review and verification?	
<b>See Note</b>	
<b>Certification Decision</b>	<b>9.5</b>
Does the CB ensure that the persons or committees that make the certification or recertification decisions are different from those who carried out the audits?	<b>9.5.1.1</b>
Does the persons assigned by the CB to make a certification decision employed or under legally enforceable arrangement with either the CB or an entity under the organizational control of the CB?	<b>9.5.1.2</b>
See type of organizational control defined from a) to c)	
Does the persons employed by or under contract with entities under organizational control fulfil the same requirements of this standard as persons employed by or under contract with the CB?	<b>9.5.1.3</b>
Does the CB record each certification decision including any additional information or clarification sought from the audit team or other sources ?	<b>9.5.1.4</b>
<b>Actions prior to making a decision</b>	<b>9.5.2</b>
Does the CB confirm, prior to making a decision that:	
a) The information provided by the audit team is sufficient with respect to the certification requirements and the scope of certification?	
b) It has reviewed, accepted and verified the effectiveness of corrections and corrective actions for all major non-conformities?	
c) It has reviewed, accepted the client's plan for corrections and corrective actions for all minor non-conformities?	



<b>Information for Granting Initial Certification</b>	<b>9.5.3</b>
Minimum information provided by the audit team:	9.5.3.1
a) The audit reports	
b) Comments on the non-conformities correction and corrective actions taken	
c) Confirmation of the information provided to the CB used in the application review (see 9.1.2);	
d) Confirmation that audit objectives have been achieved; and	
e) A recommendation whether or not to grant certification, along with any conditions or observations	
Does the CB carry out another stage 2 audit if major nonconformities have not been closed?	9.5.3.2
Does the CB have a process for obtaining sufficient information in order to take a decision on certification when dealing with a transfer of certification from another CB?	9.5.3.3
<b>Information for granting recertification</b>	<b>9.5.4</b>
Does the CB take decisions on renewing certification based on the results of the results of the recertification audit, as well as the results of the system over the period of certification and complaints received from users of certification.	
<b>Maintaining Certification</b>	<b>9.6</b>
<b>General</b>	<b>9.6.1</b>
Does the CB maintain certification based on demonstration that the client continues to satisfy the requirements of the management system standard?	
Does the CB maintain an organization's certification based on a positive recommendation by the audit team leader without further independent review provided that:	
a) For any nonconformity or other situation that may lead to suspension or withdrawal of certification, the CB needs to initiate a review by appropriately competent personnel different from those who carried out the audit to determine whether certification can be maintained? (See 7.2.8); and	
b) Competent personnel of the CB monitor its surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity is operating effectively?	

<b>Surveillance Activities</b>	<b>9.6.2</b>
<p><b>General</b></p> <p>Surveillance activities planned to cover the scope over the cycle taking changes into account</p> <p>Do surveillance activities include on-site audits activities? Other surveillance activities may include:</p> <ul style="list-style-type: none"> <li>a) Enquiries from the CB to the certified client on aspects of certification;</li> <li>b) Reviewing any client's statements with respect to its operations (e.g. promotional material, website);</li> <li>c) Requests to the client to provide documents and records (on paper or electronic media); and</li> <li>d) Other means of monitoring the certified client's performance</li> </ul>	<b>9.6.2.1.2</b>
<b>Surveillance audit</b>	<b>9.6.2.2</b>
<p>Are surveillance audits on-site audits?</p> <p>Does the surveillance audit include at least:</p> <ul style="list-style-type: none"> <li>a) Internal audits and management review;</li> <li>b) A review of actions taken on non-conformities identified during the previous audit;</li> <li>c) Treatment of complaints;</li> <li>d) Effectiveness of the management system with regard to achieving the certified customer's objectives;</li> <li>e) Progress of planned activities aimed at continual improvement;</li> <li>f) Continuing operational control;</li> <li>g) Review of any changes; and</li> <li>h) Use of marks and/or any other reference to certification</li> </ul>	<b>9.6.2.2</b>

Are surveillance audits conducted at least once a year? The date of the first surveillance audit following the initial certification shall not be more than 12 months from the last day of the Stage 2 audit.	9.1.3.3
<b>Maintaining Certification</b>	<b>9.6</b>
How does the CB maintain certification? Does the CB base certification on a positive conclusion by the audit team without further independent review, provided that: a) For any major non-conformity or other situation that may lead to suspension or withdrawal of certification, the CB has a system that requires the audit team leader to report to the CB the need to initiate a review by appropriately competent personnel (see 7.2.9) different from those who carried out the audit to determine whether certification can be maintained, and b) Competent personnel of the CB monitor its surveillance activities including monitoring the reporting by its auditors, to confirm that the certification activity is operating effectively.	

<b>Re-certification</b>	<b>9.6.3</b>
<b>Re-certification Audit Planning</b> Are re-certification audits planned and conducted to evaluate the continued fulfilment of all of the requirements? Does re-certification audit consider the performance of the system over the period of certification and include the review of previous surveillance audit reports? Does the re-certification need to have a Stage 1 audit due to significant changes to the management system?	<b>9.6.3.1</b> 9.6.3.1.1 9.6.3.1.2 9.6.3.1.3
<b>Re-certification Audit</b>	<b>9.6.3.2</b>
Does the re-certification audit include an on-site audit that addresses the following: a) The effectiveness on the management system in its entirety? b) Demonstrated commitment to maintain the effectiveness and improvement of the management system? c) Does the management system contribute to the achievement of the certified client's objectives? When major non-conformities are identified, does the CB define time limits for correction and corrective actions to be implemented and verified prior to the expiration of certification? When recertification activities are successfully completed prior to expiry of certification, does the CB issue a new certificate on or after the recertification decision? Does the CB explain to the client of the consequences if certification has not been completed prior to expiry of the existing certification? For certification restored within 6 months following expiry, does the CB ensure that the expiry of the certification is based on the prior certification cycle?	9.6.3.2.1 9.6.3.2.2 9.6.3.2.3 9.6.3.2.4 9.6.3.2.5

Where certification has not been restored within 6 months, does the CB require at least a stage 2 audit to be done?	
<b>Special audits</b>	<b>9.6.4</b>
<b>Expanding Scope</b> Does the CB review applications for extension to the scope of a certification already granted and determine any audit activities necessary to decide whether or not the extension may be granted? Is this conducted in conjunction with a surveillance audit?	<b>9.6.4.1</b>
<b>Short Notice Audits</b> Any short notice audits to investigate complaints or in response to changes or as follow up on suspended clients? In such cases does the CB:	<b>9.6.4.2</b>

<p>a) Make known to the certified clients the conditions under which these short notice visits are to be conducted? and</p> <p>b) Exercise additional care in the assignment of the audit team because of the lack of opportunity or the customer to object to audit team members?</p>	
<p><b><i>Additional / General comments - This space may also be used to expand on comments in specific sections</i></b></p>	

<b>Signed : Technical Assessor</b>		<b>Date:</b>
<b>Signed: Team Leader:</b>		<b>Date:</b>