



ISO/IEC 17065:2012 Working Document

ASSESSMENT INFORMATION	
Assessment Number	Date(s)
CAB name:	
Lead Assessor:	
Team Members:	
<input type="checkbox"/> Accreditation Assessment <input type="checkbox"/> Reassessment <input type="checkbox"/> EOA Reason:	
Location of Assessment: <input type="checkbox"/> Onsite <input type="checkbox"/> Virtual <input type="checkbox"/> Remote Desk Review	

Instructions:

This checklist is to be used in conjunction with the LF-56 Supplement for the program which includes technical and scheme evaluation in accordance to the standard and IAF MD 25.

The checklist is to be used by the assessor when conducting Product, Process or Service Certification Accreditation Assessments according to ISO/IEC 17065:2012 requirements.

Nonconformances shall be raised against the program requirements, as applicable.

This checklist is a tool for recording the objective evidence used by the assessment team in the determination of conformance to the standard requirements during the assessment. If there is a disagreement between this checklist and ISO/IEC 17065:2012 requirements as written in ISO/IEC 17065:2012, the ISO/IEC 17065:2012 document shall prevail.

Assessments shall be conducted using the standard, not this checklist.

Refer to the standard for complete clauses and related notes.

***** ON ACCREDITATION AND REASSESSMENTS, ALL CLAUSES OF THE STANDARD MUST BE COVERED AND DOCUMENTED ON THIS CHECKLIST *****



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4	General Requirements			
4.1	Legal and contractual matters			
4.1.1	Legal responsibility			
4.1.1	Is the Certification Body (CB) a legal entity or a defined part of a legal entity such that it can be held legally responsible for all its certification activities?			
Note	The above includes all key locations of the CAB.			
4.1.2	Certification Agreement			
4.1.2.1	Does the certification body have a legally enforceable agreement for the provision of certification activities to its clients? (see also 7.2)			
4.1.2.1	Do the Certification agreements take into account the responsibilities of the certification body and its clients?			
4.1.2.2	Does the certification body certification agreement require that the client comply at least with the following?			
a)	Does the CB ensure that the client always fulfils the certification requirements (see 3.7), including implementing appropriate changes when they are communicated by the certification body (see 7.10);			
b)	if the certification applies to ongoing production, does the certified product continue to fulfil the product requirements (see 3.8);			



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c)	Does the CB client make necessary arrangements for:			
	1) the conduct of the evaluation (see 3.3) and surveillance (if required), including the provision for examining documentation and records, and access to the relevant equipment, location(s), area(s), personnel, and client's subcontractors;			
	2) investigation of complaints;			
	3) the participation of observers, if applicable;			
d)	that client claims regarding certification are consistent with the scope of certification (see 3.10);			
e)	that the client does not bring the certification body into disrepute by misuse of product certification and does not make misleading or unauthorized statements regarding its product certification			
f)	that the client discontinues its use of all advertising matter that contains any reference to suspension, withdrawal or termination of certification and takes action as required by the certification scheme (e.g. the return of certification documents) and takes any other required measure;			
g)	that client provided copies of the certification documents to others shall be reproduced in their entirety or as specified in the certification scheme;			



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h)	in referring to its product certification in communication media such as documents, brochures or advertising, the client complies with the requirements of the certification body or as specified by the certification scheme.			
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;			
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 certification body when requested, and;			
	1) takes appropriate action with respect to such complaints and any deficiencies found in products that affect compliance with the requirements for certification;			
	2) documents the actions taken;			
k)	the client informs the certification body, without delay, of changes that may affect its ability to conform with the certification requirements.			
4.1.3	Use of license, certificates and marks of conformity			
4.1.3.1	Does the certification body 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?			



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4.1.3.2	Does the CB properly deal 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 consider impartiality when undertaking its certification activities?			
4.2.2	Is the certification body responsible for the impartiality of its certification activities and not allow commercial, financial or other pressures to compromise impartiality?			
4.2.3	Does the certification body identify risks to its impartiality on an ongoing basis?			
4.2.3	Does the certification body consider and include those risks that arise from its activities, from its relationships, or from the relationships of its personnel (see 4.2.12)?			
4.2.4	If a risk to impartiality is identified, does the certification body demonstrate how it eliminates or minimizes such risk to impartiality?			
4.2.5	Is the certification body top management committed to impartiality?			
4.2.6	Is the certification body and any part of the same legal entity and entities under its organizational control (see 7.6.4)?			
a)	a designer, manufacturer, installer, distributor or maintainer of a certified product?			



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b)	a designer, implementer, operator or maintainer of the certified process?			
c)	a designer, implementer, provider or maintainer of the certified service?			
d)	a provider or offeror of consultancy to its clients?			
e)	a provider of management system consultancy or internal auditing to its clients where the certification scheme requires the evaluation of the client's management system?			
4.2.7	Does the certification body ensure that activities of separate legal entities, with which the certification body or the legal entity of which it forms a part has relationships, do not compromise the impartiality of its certification activities?			
4.2.8	Does the certification body ensure its management personnel and personnel in the review and certification decision-making process are not those involved in the activities of the separate legal entity identified in 4.2.7?			
4.2.8	Does the certification body ensure that the personnel of the separate legal entity identified in 4.2.7 are not involved in the management of the certification body, the review, or the certification decision?			
4.2.9	Does the certification body ensure that its activities are not marketed or offered as linked with the activities of an organization that provides consultancy?			



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4.2.9	Does the certification body ensure that it does not state or imply that certification would be simpler easier, faster or less expensive if a specified consultancy were used?			
4.2.10	Does the certification body ensure that, within the period specified, that personnel that have provided consultancy for a product are not used to review or make a certification decision for that product (see 3.2)?			
4.2.11	Does the certification body 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?			
4.2.12	Does the certification body ensure that all certification body personnel (either internal or external) or committees who could influence the certification activities act impartially?			
4.3	Liability and Financing			
4.3.1	Does the certification body have adequate arrangements (e.g. insurance or reserves) to cover liabilities arising from its operations?			
4.3.2	Does the certification body have evidence of financial stability and resources required for its operations?			
4.4	Non-discriminatory Conditions			
4.4.1	Are the policies and procedures under which the certification body operates, and the administration of them, non-discriminatory?			



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4.4.1	Does the certification body ensure that its procedures are not used to impede or inhibit access by applicants, other than as provided for in ISO/IEC 17065:2012?			
4.4.2	Does the certification body make its services accessible to all applicants whose activities fall within the scope of its operations?			
4.4.3	Does the certification body ensure that access to the certification process is unconditional and not based upon the size of the client, membership of any association or group, nor upon the number of certifications already issued and ensure that there are no undue financial or other conditions?			
4.4.4	Does the certification body ensure that its requirements, evaluation, review, decision and surveillance (if any) are confined to those matters specifically related to the scope of certification?			
4.5	Confidentiality			
4.5.1	Is the certification body responsible, through legally enforceable commitments, for the management of all information obtained or created during the performance of certification activities?			
4.5.1	Does the certification body ensure that client information is considered proprietary information and shall be regarded as confidential, except for information that the client makes publicly available, or when agreed between the certification body and the client (e.g. for the purpose of responding to complaints).			



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4.5.1	Does the certification body inform the client, in advance, of the information it intends to place in the public domain?			
4.5.2	When the certification body is required by law or authorized by contractual arrangements to release confidential information, is the client or person notified of the information provided?			
4.5.3	Does the certification body treat as confidential Information about the client obtained from sources other than the client (e.g. from the complainant or from regulators)?			
4.6	Publicly available information			
4.6.1	Does the certification body maintain (through publications, electronic media or other means), and make available upon request, the following?			
a)	Information about (or reference to) the certification scheme(s), including evaluation procedures, rules and procedures for granting, for maintaining, for extending or reducing the scope of, for suspending, for withdrawing or for refusing certification;			
b)	A description of the means by which the certification body 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 certification body's name and certification mark and on the ways of referring to the certification granted;			



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d)	information about procedures for handling complaints and appeals.			
5	Structural requirements			
5.1	Organizational structure and top management			
5.1.1	Are certification activities structured and managed so as to safeguard impartiality?			
5.1.2	Does the certification body's organizational structure show duties, responsibilities and authorities of management and other certification personnel and any committees?			
5.1.2	When the certification body is defined as part of a legal entity, does the structure include the line of authority and the relationship to other parts within the same legal entity?			
5.1.3	Does the management of the certification body identify 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 certification body;			
b)	supervision of the implementation of the policies and procedures;			
c)	supervision of the finances of the certification body;			
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);			



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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 certification body			
5.1.4	Does the certification body have formal rules for the appointment, terms of reference and operation of any committees that are involved in the certification process (see Clause 7)?			
5.1.4	Are such committees free from any commercial, financial and other pressures that might influence decisions?			
5.1.4	Does the certification body retain authority to appoint and withdraw members of such committees?			
5.2	Mechanism for safeguarding impartiality			
5.2.1	Does the certification body have a mechanism for safeguarding its impartiality?			
5.2.1	Does the mechanism provide input on the following?			
a)	The policies and principles relating to the impartiality of its certification activities;			
b)	Any tendency on the part of a certification body to allow commercial or other considerations to prevent the consistent impartial provision of certification activities;			



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c)	Matters affecting impartiality and confidence in certification, including openness.			
5.2.2	Are the mechanisms formally documented and include the following?			
a)	Balanced representation of significantly interested parties, such that no single interest predominates (internal or external personnel of the certification body are a single interest, and shall not predominate);			
b)	Access to all the information necessary to enable it to fulfill all its functions.			
5.2.3	If, the top management of the certification body does not follow the input mechanism, does impartiality mechanisms include the right to take independent action (e.g. informing authorities, accreditation bodies, and stakeholders) and include confidentiality requirements outlined in section 4.5 related to the client and certification body?			
5.2.3	Does the certification body ensure that input that conflicts with the operating procedures of the certification body or other mandatory requirements are not followed?			
5.2.3	Does the certification body management document the reasoning behind the decision to not follow the input and maintain the document for review by appropriate personnel?			
5.2.4	Does the certification body have as part of their impartiality policy a requirement to identify and invite significantly interested parties?			



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6.1	Certification Body Personnel			
6.1.1	General			
6.1.1.1	Does the certification body employ, or have access to, a sufficient number of personnel to cover its operations related to the certification schemes and to the applicable standards and other normative documents?			
6.1.1.2	Are the certification body personnel competent for the functions they perform, including making required technical judgments, defining policies and implementing them?			
6.1.1.3	Does the certification body ensure that their personnel, including any committee members, personnel of external bodies, or personnel acting on their 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			
6.1.2.1	Does the certification body establish, implement and maintain a procedure for management of competencies of personnel involved in the certification process?			
6.1.2.1	Does the procedure require the certification body 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;			



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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 the personnel.			
6.1.2.2	Does the certification body maintain the following records on the personnel involved in the certification process (see Clause 7)?			
a)	name and address;			
b)	employer(s) and position held;			
c)	educational qualification and professional status;			
d)	experience and training;			
e)	the assessment of competence;			
f)	performance monitoring;			
g)	authorizations held within the certification body;			
h)	date of most recent updating of each record.			
6.1.3	Contract with the personnel			
6.1.3	Does the certification body require personnel involved in the certification process to sign a contract or other document by which they commit themselves to the following?			



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a)	to comply with the rules defined by the certification body, including those relating to confidentiality and independence from commercial and other interests;			
b)	to declare any prior and/or present association on their own part, or on the part of their employer, with: 1) a supplier or designer of products, or 2) a provider or developer of services, or 3) an operator or developer of processes to the evaluation or certification of which they are to be assigned;			
c)	to reveal any situation known to them that may present them or the certification body with a conflict of interest (see 4.2).			
6.1.3	Does the certification body use this information as input into identifying risks to impartiality raised by the activities of such personnel, or by the organizations that employ them (see 4.2.3)?			
6.2	Resources for evaluation			
6.2.1	Internal resources			
6.2.1	Does the certification body meet the applicable requirements for its internal and other resources of the relevant international Standards and of other documents, as specified by the certification scheme?			
6.2.1	For testing, does it meet the applicable requirements of ISO/IEC 17025;			
6.2.1	for inspection, does it meet the applicable requirements of ISO/IEC 17020;			



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6.2.1	for management system auditing, does it meet the applicable requirements of ISO/IEC 17021;			
6.2.1	Does it ensure that the impartiality requirements of the evaluation personnel stipulated in the relevant standard shall always be applicable?			
6.2.2	External resources (outsourcing)			
6.2.2.1	Does the certification body outsource evaluation activities only to bodies that meet the applicable requirements of the relevant International Standards and as specified by the certification scheme, of other documents?			
6.2.2.1	For testing, it shall meet the applicable requirements of ISO/IEC 17025;			
6.2.2.1	for inspection, it shall meet the applicable requirements of ISO/IEC 17020;			
6.2.2.1	for management system auditing, it shall meet the applicable requirements of ISO/IEC 17021.			
6.2.2.1	The impartiality requirements of the evaluation personnel stipulated in the relevant standard shall always be applicable.			
6.2.2.2	Does the certification body ensure that the evaluation activities, even when outsourced to non-independent bodies, are managed in a manner that provides confidence in the results, and that records are available to justify the confidence?			



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6.2.2.3	Does the certification body have a legally binding contract with the body that provides the outsourced service, including provisions for confidentiality and conflict of interest as specified in 6.1.3, item c) ?			
6.2.2.4	Does the certification body?			
a)	take responsibility for all activities outsourced to another body;			
b)	ensure that the body that provides outsourced services, and the personnel that it uses, are not involved, either directly or through any other employer, in such a way that the credibility of the results could be compromised;			
c)	have 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 with an opportunity to object.			
7	Process requirements			
7.1	General			
7.1.1	Does the certification body operate one or more certification scheme(s) covering its certification activities?			



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7.1.2	Does the certification body ensure that the requirements against which the products of a client are evaluated are those contained in specified standards and other normative documents?			
7.1.3	If explanations are required as to the application of specified standards and other normative documents to a specific scheme, does the certification body ensure that they are formulated by relevant and impartial persons or committees possessing the required technical competence who are made available by them upon request?			
7.2	Application			
7.2	Does the certification body's application ensure that all necessary information to complete the certification process is obtained as required by the relevant certification scheme?			
7.3	Application review			
7.3.1	Does the certification body conduct a review of the information obtained (see 7.2) 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 standards or other normative documents;			
c)	the scope of certification sought is defined;			
d)	the means are available to perform all evaluation activities;			



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e)	the certification body has the competence and capability to perform the certification activity.			
7.3.2	Does the certification body 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 certification body has no prior experience?			
7.3.3	In these cases (see 7.3.2), does the certification body ensure it has the competence and capability for all the certification activities it is required to undertake, and maintain a record of the justification for the decision to undertake certification?			
7.3.4	Does the certification body decline to undertake a specific certification if it lacks any competence or capability for the certification activities it is required to undertake?			
7.3.5	Does the certification body reference existing certifications when it relies on certifications it has already granted to the client, or has already granted to other clients, to omit any activities?			
7.3.5	Does the certification body provide justification for omission of activities if requested by the client?			



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7.4	Evaluation			
7.4.1	Does the certification body have a plan for the evaluation activities to allow for the necessary arrangements to be managed?			
7.4.2	Does the certification body assign personnel to perform each evaluation task that it undertakes with its internal resources?			
7.4.3	Does the certification body ensure all necessary information and/or documentation is made available for performing the evaluation tasks?			
7.4.4	Does the certification body carry out the evaluation activities that it undertakes with its internal resources and manage outsourced resources (see 6.2.2) in accordance with the evaluation plan (see 7.4.1)?			
7.4.4	Are the products evaluated against the requirements covered by the scope of certification and other requirements specified in the certification scheme?			
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 fulfills the requirements contained in 6.2.2 and those specified by the certification scheme?			
7.4.6	Does the certification body inform the client of all nonconformities?			



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7.4.7	If one or more nonconformities arise and if the client expresses an interest in continuing the certification process, does the certification body provide information regarding the additional evaluation tasks needed to verify that nonconformities have been corrected?			
7.4.8	If the client agrees to the completion of additional evaluation tasks, does the certification body repeat the process as specified in 7.4 to complete the additional evaluation tasks?			
7.4.9	Does the certification body ensure that the results of all evaluation activities are documented prior to review?			
7.5	Review			
7.5.1	Does the certification body assign at least one person to review all information and results related to the evaluation who has not be involved with the evaluation process?			Combined questions
7.5.1	The review shall be carried out by person(s) who have not been involved in the evaluation process.			
7.5.2	Are the recommendations for a certification decision based on the review documented, unless the review and the certification decision are completed concurrently by the same person?			
7.6	Certification decision			
7.6.1	Is there evidence that the certification body is responsible for, and retain authority for, its decisions relating to certification?			



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7.6.2	Does the certification body assign at least one person to make the certification decision based on all information related to the evaluation, its review, and any other relevant information?			
7.6.2	Does the certification body ensure that the certification decision is carried out by a person or group of persons (e.g. a committee) that has not been involved in the process for evaluation?			
7.6.3	Is the person(s) [excluding members of committees] assigned by the certification body to make a certification decision employed by, or under contract with, one of the following? <ul style="list-style-type: none"> – the certification body (see 6.1); – an entity under the organizational control of the certification body (see 7.6.4). 			
7.6.4	Is the certification body's organizational control one of the following? <ul style="list-style-type: none"> – whole or majority ownership of another entity by the certification body; – majority participation by the certification body on the board of directors of another entity; – a documented authority by the certification body over another entity in a network of legal entities (in which the certification body resides), linked by ownership or board of director control. 			



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7.6.5	– Do the persons employed by, or under contract with, entities under organizational control fulfill the same requirements of ISO/IEC 17065:2012 as persons employed by, or under contract with, the certification body?			
7.6.6	Does the certification body notify the client of a decision not to grant certification, and identify the reasons for the decision?			
7.7	Certification documentation			
7.7.1	Does the certification body provide the client with formal certification documentation that clearly conveys, or permits identification of the following?			
a)	the name and address of the certification body;			
b)	the date certification is granted (the date shall not precede the date on which the certification decision was completed);			
c)	the name and address of the client;			
d)	the scope of certification (see 3.10);			
e)	the term or expiry date of certification, if certification expires after an established period;			
f)	any other information required by the certification scheme.			
7.7.2	Does the formal certification documentation include the signature or other defined authorization of the person(s) of the certification body assigned such responsibility?			



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7.7.3	Is formal certification documentation (see 7.7) only issued after, or concurrent with, the following?			
a)	the decision to grant or extend the scope of certification (see 7.6.1) has been made;			
b)	certification requirements have been fulfilled;			
c)	the certification agreement (see 4.1.2) has been completed/signed.			
7.8	Directory of certified products			
7.8	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 document(s) to which conformity has been certified;			
c)	Identification of the client;			
7.8	As a minimum, does the certification body provide information, upon request, about the validity of a given certification?			
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 certification body initiate surveillance of the product(s) covered by the certification decision in accordance with the certification scheme?			
7.9.2	When surveillance utilizes evaluation, review or a certification decision, are the requirements in 7.4, 7.5 or 7.6, respectively, fulfilled?			



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7.9.3	When continuing use of a certification mark is authorized for placement on a product (or its packaging, or information accompanying it) of a type which has been certified, does the certification body provide 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, has the certification body provided surveillance and include periodic surveillance activities to ensure ongoing validity of the demonstration of fulfillment of process or service requirements?			
7.10	Changes affecting certification			
7.10.1	When the certification scheme introduces new or revised requirements that affect the client, does the certification body ensure these changes are communicated to all clients?			
7.10.1	Does the certification body verify the implementation of the changes by its clients and 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?			



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7.10.3	Do the actions to implement changes affecting certification include, if required, the following: <ul style="list-style-type: none"> – evaluation (see 7.4); – review (see 7.5); – decision (see 7.6); – 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). 			
7.10.3	Are these actions completed in accordance with applicable parts of 7.4, 7.5, 7.6, 7.7 and 7.8?			
7.10.3	Do the records include the rationale for excluding any of the above activities (e.g. when a certification requirement that is not a product requirement changes, and no evaluation, review or decision activities are necessary)?			
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 certification body consider and decide upon the appropriate action?			
7.11.2	When the appropriate action includes evaluation, review or a certification decision, are the requirements in 7.4, 7.5 or 7.6, respectively, fulfilled?			



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ISO/IEC 17065:2012	The checklist is a tool for recording the evidence of the assessment activity. Assessments shall be conducted using the standard, not this checklist.	CAB QM w/section Policy/SOP/WI	Y/N/NA	Assessor Identify documents/records/observations of practices/ results of interviews, etc. used to determine how the PPS CB is/is not meeting the clause
7.11.3	If certification is terminated (by request of the client), suspended or withdrawn, does the certification body take actions specified by the certification scheme and make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure it provides no indication that the product continues to be certified?			
7.11.3	If a scope of certification is reduced, does the certification body take actions specified by the certification scheme and make all necessary modifications to formal certification documents, public information, authorizations for use of marks, 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?			
7.11.4	If certification is suspended, does the certification body assign one or more persons to formulate and communicate the following to the client? <ul style="list-style-type: none"> – actions needed to end suspension and restore certification for the product(s) in accordance with the certification scheme; – any other actions required by the certification scheme. 			
7.11.4	Are these persons competent in their knowledge and understanding of all aspects of the handling of suspended certifications (see 6.1)?			



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7.11.5	Are any evaluations, reviews or decisions needed to resolve the suspension, or that are required by the certification scheme, completed in accordance with the applicable parts of 7.4, 7.5, 7.6, 7.7.3, 7.9 and 7.11.3?			
7.11.6	If certification is reinstated after suspension, does the certification body make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure all appropriate indications, exist that the product continues to be certified?			
7.11.6	If a decision to reduce the scope of certification is made as a condition of reinstatement, does the certification body make all necessary modifications to formal certification documents, public information, authorizations for use of marks, 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?			
7.12	Records			
7.12.1	Does the certification body retain records to demonstrate that all certification process requirements (those in this International Standard and those of the certification scheme) have been effectively fulfilled (see also 8.4)?			
7.12.2	Does the certification body demonstrate they keep records confidential?			



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7.12.2	Do the methods used by the certification body to transport, transmit and transfer records ensure that confidentiality is maintained (see also 4.5)?			
7.12.3	If the certification scheme involves complete re-evaluation of the product(s) within a determined cycle, does the certification body ensure that records are retained at least for the current and the previous cycle? If not, does the certification body retain the records for a period defined by the certification body?			
7.13	Complaints and Appeals			
7.13.1	Does the certification body have a documented process to receive, evaluate and make decisions on complaints and appeals?			
7.13.1	Does the certification body record and track complaints and appeals, as well as actions undertaken to resolve them?			
7.13.2	Upon receipt of a complaint or appeal, does the certification body confirm whether the complaint or appeal relates to certification activities for which it is responsible and, if so, does the certification body address it?			
7.13.3	Does the certification body have evidence that they acknowledge receipt of a formal complaint or appeal?			
7.13.4	Can the certification body demonstrate that they are responsible for gathering and verifying all necessary information (as far as possible) to progress the complaint or appeal to a decision?			



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7.13.5	Does the certification body have a process where the decision resolving the complaint or appeal is made by, or reviewed and approved by, person(s) not involved in the certification activities related to the complaint or appeal?			
7.13.6	Does the certification body prevent the use of personnel from being involved in resolution of a complaint or appeal for a client or employed by a client within two years following the end of a consultancy or employment?			
7.13.7	Whenever possible, does the certification body give formal notice of the outcome and the end of the complaint process to the complainant?			
7.13.8	Does the certification body give formal notice of the outcome and the end of the appeal process to the appellant?			
7.13.9	Does the certification body take any subsequent action needed to resolve the complaint or appeal?			
8	Management systems requirements			
8.1.1	General			
8.1.1	Does the certification body establish and maintain a management system that is capable of achieving the consistent fulfillment of the requirements of ISO/IEC 17065:2012 in accordance with either Option A or Option B?			



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8.1.2	Option A			
8.1.2	Does the management system of the certification body address the following? <ul style="list-style-type: none"> – general management system documentation (e.g. manual, policies, definition of responsibilities, see 8.2); – control of documents (see 8.3); – control of records (see 8.4); – management review (see 8.5); – internal audit (see 8.6); – corrective actions (see 8.7); – preventive actions (see 8.8). 			
8.1.3	Option B			
8.1.3	A certification body that has established and maintains a management system, in accordance with the requirements of ISO 9001, and that is capable of supporting and demonstrating the consistent fulfilment of the requirements of this International Standard, fulfils the management system clause requirements (see 8.2 to 8.8).			
8.2	General management system documentation			
8.2.1	Does the certification body's top management establish, document, and maintain policies and objectives for fulfillment of ISO/IEC 17065:2012 and the certification scheme?			



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8.2.1	Does the certification body ensure the policies and objectives are acknowledged and implemented at all levels of the certification body's organization?			
8.2.2	Does the certification body's top management provide evidence of its commitment to the development and implementation of the management system and its effectiveness in achieving consistent fulfillment of ISO/IEC 17065:2012?			
8.2.3	Has the certification body's top management appointed a member of management who, irrespective of other responsibilities, with responsibility and authority that include the following?			
a)	ensures that processes and procedures needed for the management system are established, implemented and maintained;			
b)	reports to top management on the performance of the management system and any need for improvement			
8.2.4	Is all documentation, processes, systems, records, etc. related to the fulfillment of the requirements of ISO/IEC 17065:2012 included, referenced, or linked to documentation of the management system?			
8.2.5	Do all personnel involved in certification activities have access to the parts of the management system documentation and related information that are applicable to their responsibilities?			



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8.3	Control of documents (Option A)			
8.3.1	Has the certification body established procedures to control the documents (internal and external) that relate to the fulfillment of ISO/IEC 17065:2012?			
8.3.2	Do the procedures define the controls needed to?			
a)	approve documents for adequacy prior to issue;			
b)	review and update (as necessary) and re-approve documents;			
c)	ensure that changes and the current revision status of documents are identified;			
d)	ensure that relevant versions of applicable documents are available at points of use;			
e)	ensure that documents remain legible and readily identifiable;			
f)	ensure that documents of external origin are identified, and their distribution controlled;			
g)	prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.			
8.4	Control of records (Option A)			
8.4.1	Does the certification body have procedures to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of its records related to the fulfillment of ISO/IEC 17065:2012?			



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8.4.2	Does the certification body have procedures for retaining records (see 7.12) for a period consistent with its contractual and legal obligations?			
8.4.2	Is access to these records consistent with the confidentiality arrangements?			
8.5	Management reviews (Option A)			
8.5.1	General			
8.5.1.1	Has the certification body's top management established procedures to review its management system at planned intervals, in order to ensure its continuing suitability, adequacy and effectiveness, including the stated policies and objectives related to the fulfillment of ISO/IEC 17065:2012?			
8.5.1.2	Does the certification body conduct these reviews at least once per year?			
8.5.1.2	Are records of these reviews maintained?			
8.5.2	Review of inputs			
8.5.2	Do the inputs to the management review include information related to the following?			
a)	results of internal and external audits			
b)	feedback from clients and interested parties related to the fulfillment 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 fulfillment of objectives;			



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g)	changes that could affect the management system;			
h)	appeals and complaints.			
8.5.3	Review of outputs			
8.5.3	Do the outputs from the management review include decisions and actions related to the following?			
a)	improvement of the effectiveness of the management system and its processes;			
b)	improvement of the certification body related to the fulfillment of this International Standard;			
c)	resource needs.			
8.6	Internal audits (Option A)			
8.6.1	Does the certification body have procedures for internal audits to verify that it fulfills the requirements of ISO/IEC 17065:2012 and that the management system is effectively implemented and maintained?			
8.6.2	Is the certification body audit program planned, taking into consideration the importance of the processes and areas to be audited, as well as the results of previous audits?			
8.6.3	Are internal audits performed at least once every 12 months, or completed within a 12-month time frame for segmented (or rolling) internal audits?			
8.6.3	Is there a documented decision-making process that is followed to change (reduce or restore) the frequency of internal audits or the time frame in which internal audits shall be completed?			



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8.6.3	Are such changes based on the relative stability and ongoing effectiveness of the management system?			
8.6.3	Are the records of decisions to change the frequency of internal audits, or the time frame in which they will be completed, including the rationale for the change, maintained?			
8.6.4	Does the certification body ensure that?			
a)	internal audits are conducted by personnel knowledgeable in certification, auditing and the requirements of this International Standard;			
b)	auditors do not audit their own work;			
c)	personnel responsible for the area audited are informed of the outcome of the audit;			
d)	any actions resulting from internal audits are taken in a timely and appropriate manner;			
e)	any opportunities for improvement are identified.			
8.7	Corrective actions (Option A)			
8.7.1	Does the certification body have procedures for identification and management of nonconformities in its operations?			
8.7.2	Does the certification body shall also, where necessary, take actions to eliminate the causes of nonconformities to prevent recurrence?			
8.7.3	Are the corrective actions appropriate to the impact of the problems encountered?			
8.7.4	Do the procedures for corrective actions define requirements for the following?			



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a)	identifying nonconformities (e.g. from complaints and internal audits);			
b)	determining the causes of nonconformity;			
c)	correcting nonconformities;			
d)	evaluating the need for actions to ensure that nonconformities do not recur;			
e)	determining and implementing the actions needed in a timely manner;			
f)	recording the results of actions taken;			
g)	reviewing the effectiveness of corrective actions.			
8.8	Preventive Actions (Option A)			
8.8.1	The certification body shall establish procedures for taking preventive actions to eliminate the causes of potential nonconformities.			
8.8.2	Preventive actions taken shall be appropriate to the probable impact of the potential problems.			
8.8.3	Do the procedures for preventive actions define requirements for the following?			
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.			



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PJLA	POLICIES AND REQUIREMENTS			
PL-4	Does the scope/draft scope comply with the requirements of PL-4?			
SOP-3	Does the CAB comply with the requirements of SOP-3?			



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Verification of Implementation of Applicable Regulatory and Statutory Imposed Requirements

By Regulatory and Statutory Requirements, in this document, we refer to imposed requirements issued by competent authorities that are legally binding the CAB that directly influence the reporting of conformity assessment activities listed on the scope of accreditation.

NCs to this table should be addressed, as applicable, as below:

ISO/IEC 17025, clause 7.1.2 The requirements against which the products of a client are evaluated shall be those contained in specified standards and other normative documents.

Applicable Regulatory/Statutory Requirements? Indicate Y/N/N/A	Yes <input type="checkbox"/> <i>proceed by completing the fields in the below table</i>			Comments:
	No <input type="checkbox"/> <i>disregard this table</i>			
	N/A <input type="checkbox"/>			
Requirement (if and as required)	Covered in Quality Manual/Procedure/other documentation	Evidence of Implementation	Complies Y/N/NA	Notes
Does the organization maintain a current and controlled list of all regulatory/statutory requirements?				
Is there evidence that the organization regularly monitors and demonstrates awareness of regulatory/statutory updates?				
Are regulatory/statutory changes reviewed and incorporated into the management system in a timely and effective manner?				
Are applicable regulatory/statutory requirements applied to conformity assessment activity?				



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Are these regulatory/statutory requirements reflected in documented procedures, methods, and reporting formats?				
Are all relevant licenses, permits, and authorizations valid and up to date?				
Are complaints and appeals involving regulatory bodies/authorities properly documented, managed and resolved in accordance with applicable requirements?				
Other? _____				
NOTES:				



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Co-Located Accredited Entities—Actions and Evaluation

WI-33

Is the CAB co-located with another CAB performing the same conformity assessment activity accredited by PJLA or another MRA AB?

☐ Yes ☐ No

If yes, proceed to questions below.

Area reviewed	C/NC/NA	Comments:
• Shared staff		
○ Impartiality		
○ Confidentiality		
• Shared Equipment/Instrumentation/ Software		
• Metrological Traceability		
• Externally Provided Products and Services		
• Other: _____		