



**ISO/IEC 17065 Checklist For  
Certification of Products, Process and Service**

F07/06G

<b>For office use: ENAO Acc. No</b>							
<b>Name of the CB</b>							
<b>Accreditation applied for</b>							
<b>Name of Nominated Representative</b>							
<b>Assessor/s &amp; Observers:</b>							
<b>Date of Evaluation:</b>							
<b>This report covers the following:</b>							
<b>Type of Assessment (Tick box):</b>	<b>Initial:</b>		<b>Follow Up</b>		<b>Re-assessment:</b>		
<b>Document Review only:</b>	<b>Site Visit only:</b>		<b>Document Review and Site visit:</b>		<b>Pre-assessment</b>	<b>Other:</b>	

Certification Bodies wishing to apply for accreditation shall indicate how requirements have been addressed, documented and implemented on the comment side of each requirement. Assessors can use the space provide to write evidence for the assessment findings on the comment side of each requirement. (Key: C = Comply, NC = not comply, NA = not applicable)

Clause	Requirements	Filled by CAB indicating in which document & clause No. the requirements are addressed	Document review by team leader (Reference Documents)	C/NC/N/A	On site assessment Objective Evidence <i>(Provide supporting information to prove implementation; describe the observations; note which records were reviewed.)</i>	C/NC/NA
4	<b>General Requirements:</b>					
4.1	Legal and Contractual Matters					
4.1.1	Legal Responsibility					
4.1.2.1	Is the Certification Body (CB) a legal entity or a defined part of a legal entity such that it can be held legally responsible ?  Note:- A government CB is deemed to be a legal entity on the basis of its governmental status.					
4.1.2.2	Has the CB ensured that its certification agreement requires that the client complies at least, with the					

	followings ?					
	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?					
	c. The client makes all necessary arrangements for <ul style="list-style-type: none"> <li>• The conduct of the evaluation and Follow Up(if required), including provision for examining documentation and records, and access to the relevant equipment, location(s), area(s), personnel, and client's subcontractors;</li> <li>• Investigations of complaints;</li> <li>• The participation of observers, if applicable;</li> </ul>					
	d. The client makes claims regarding certification consistent with the scope of certification					
	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>f. Upon suspension, 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 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> <ul style="list-style-type: none"> <li>• Takes appropriate action with respect to such complaints and any deficiencies found in the products that affect compliance with the requirements for certification.</li> <li>• Documents the actions taken;</li> </ul>					
	<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</p>					

	<ul style="list-style-type: none"> <li>• Takes appropriate action with respect to such complaints and any deficiencies found in the products that affect compliance with the requirements for certification.</li> <li>• Documents the actions taken;</li> </ul>					
	K. The client informs the CB, without delay, of changes that may affect its ability to conform with the certification requirements (see note)					
4.2	<b>Management of Impartiality</b>					
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?					
4.2.3	Has the CB identified risks (arising from its activities, 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 risk					
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:					
	a. Are not the designer, manufacturer, installer, distributor or maintainer of the certified product;					
	b. Are not the designer, implementer, operator maintainer of the certified process;					
	c. Are not the designer, implementer, operator maintainer of the certified service;					
	d. Do not offer or provide consultancy to its clients;					

	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)					
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	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 certification body'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?  Are the personnel of the separate legal entity involved in the management of the certification body, the review, or certification decision?					
4.2.9	Are the certification body's activities marketed or offered as linked with the activities of an organization that provides consultancy?  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?					
4.2.10	Does the certification body 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?					
4.2.12	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	<b>Liability and Financing</b>					
4.3.1	How does the certification body ensure that it has adequate arrangements (e.g. Insurance					

	or reserves) to cover liabilities arising from its operations?					
4.3.2	How has the certification body ensured that it has the financial stability and resources required for its operations?					
4.4	<b>Non-discriminatory Conditions</b>					
4.4.1	Are the policies and procedures under which the Certification body operates and their administration nondiscriminatory?					
	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 certification body 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 issued? Are there any undue financial or other conditions?					
4.4.4	Does the certification body ensure that it confines its requirements, evaluation, review, decision, and Follow Up (if any) to those matters specifically related to the scope of the certification?					
4.5	<b>Confidentiality</b>					
4.5.1	Does the certification body take responsibility, through legally enforceable commitments, for the management of all information obtained or created during the performance of certification activities?					
	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), is all other information considered proprietary information and regarded as confidential?					
	How 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, how is the client or person concerned, unless prohibited by law, notified of the information provided?					
4.5.3	Is information about the client obtained from sources other than the client (e.g. complainant, regulators) treated as confidential?					
4.6	<b>Publicly Available Information</b>					
	<p>Does the certification body maintain (through publications, electronic media or other means) and make available on request, the following:</p> <ul style="list-style-type: none"> <li>a. information about (or reference to) the certification scheme(s), including evaluation procedures, rules and procedures for granting, maintaining, extending or reducing the scope of, suspending, withdrawing or refusing certification;</li> <li>b. a description of how the certification body obtains financial support and general information on the fees charged to applicants and to clients;</li> <li>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;</li> <li>d. Procedures for handling complaints and appeals?</li> </ul>					
5	<b>Structural Requirements</b>					
5.1	<b>Organizational Structure and Top management</b>					
5.1.1	Are certification activities structured and managed so as to safe guard impartiality?					
5.1.2	Does the CB document its organizational structure which indicates duties, responsibilities, authorities of management and other certification personnel and committees? Does the structure include the line of authority					

	and relationships to other parts of the same legal entity?				
5.1.3	<p>Has the management of the certification body identified the board, group of persons, or person having overall authority and responsibility for each of the following:</p> <ul style="list-style-type: none"> <li>a) Development of policies relating to the operation of the CB.</li> <li>b) supervision of the implementation of the policies and procedures;</li> <li>c) supervision of the finances of the certification body;</li> <li>d) development of certification activities;</li> <li>e) development of certification requirements;</li> <li>f) evaluation (7.4);</li> <li>g) review (7.5)</li> <li>h) decisions on certification (7.6);</li> <li>i) delegation of authority to committees or personnel, as required, to undertake defined activities on its behalf;</li> <li>j) contractual arrangements;</li> <li>k) provision of adequate resources for certification activities;</li> <li>l) responsiveness to complaints and appeals;</li> <li>m) personnel competence requirements;</li> </ul>				
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)?				
	Are such committees free from any commercial,				

	financial and other pressures that might influence decisions?				
	How does the certification body retain authority to appoint and withdraw members of such committees?				
5.2	<b>Mechanism for Safeguarding Impartiality</b>				
5.2.1	<p>What mechanism does the CB have to safeguard impartiality and does the mechanism provide input on:</p> <ul style="list-style-type: none"> <li>a) the policies and principles relating to the impartiality of its certification activities;</li> <li>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;</li> <li>c) Matters affecting impartiality and confidence in certification, including openness?</li> </ul>				
5.2.2	<p>Is the mechanism formally documented to ensure:</p> <ul style="list-style-type: none"> <li>a) a balanced representation of significantly interested parties such that no single interest predominates (internal or external personnel of the certification body are considered to be a single interest, and shall not predominate);</li> <li>b) Access to all the information necessary to enable it to fulfill all its functions?</li> </ul>				
5.2.3	<p>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</p>				

	the client and certification body respected?					
5.2.4	How does the CB identify and invite significantly interested parties?					
6	<b>Resource Requirements</b>					
6.1	<b>Certification Body Personnel</b>					
6.1.1	<b>General</b>					
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 the personnel competent for the functions they perform, including making required technical judgments, 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 certification body's behalf, keep confidential all information obtained or created during the performance of the certification activities, except as required by law or by the certification scheme?					
6.1.2	Management of competence for personnel involved in the certification process					
6.1.2.1	<p>Are procedures in place and implemented to manage the competencies of personnel involved in the certification process?</p> <p>Does the procedure address how to:</p> <ul style="list-style-type: none"> <li>a) determine the criteria for the competence of personnel for each function in the certification process taking into account the requirements of the schemes?;</li> <li>b) identify training needs and provide, as necessary, training programs on certification processes, requirements, methodologies, activities and other relevant certification scheme requirements?;</li> <li>c) demonstrate that the personnel have the required competencies for the duties and responsibilities they undertake?;</li> </ul>					

	<p>d) formally authorize personnel for functions in the certification process?;</p> <p>e) Monitor the performance of the personnel?</p>				
6.1.2.2	<p>a) Name and address</p> <p>b) Employer(s) and position held</p> <p>c) Educational qualifications and professional status</p> <p>d) Experience and training</p> <p>e) The assessment of competence</p> <p>f) Performance Monitoring</p> <p>g) Level of Authorization within the CB</p> <p>h) Relevant records kept and up to date</p>				
6.1.3	<p>Contract with personnel</p> <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> <p>a) comply with the rules defined by the certification body, including those relating to confidentiality (see 4.5) and independence from commercial and other interests?;</p> <p>b) declare any prior and/or present association on their own part, or on the part of their employer, with: a supplier or designer of products, a provider or developer of services, or ,an operator or developer of processes to the evaluation or certification of which they are to be assigned?; and</p> <p>c) Reveal any situation known to them that may present them or the certification body with a conflict of interest (see 4.2)?</p> <p>How does the certification body use</p>				

	<p>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	<b>Resources for Evaluation</b>					
6.2.1	<p>Internal resources</p> <p>How does the CB ensure that evaluation activities are performed (using internal and/or external resources under the CB's direct control) in accordance with the relevant International standard?</p> <p>Are the impartiality requirements as stipulated in the relevant standard applied to by evaluation personnel?</p>					
6.2.2	<b>External Resources (outsourcing)</b>					
6.2.2.1	<ul style="list-style-type: none"> <li>• How does the CB ensure that evaluation activities that are outsourced meet the applicable requirements of the international standard and specified certification scheme requirements?</li> <li>• How does the CB ensure that only organizations that meet the requirements are used for outsourced work</li> <li>• Are the impartiality requirements of the evaluation personnel stipulated in the relevant standard always applicable?</li> </ul>					
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 the confidence?					
6.2.2.3	Does the certification body 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 c)?					

6.2.2.4	<p>How does the certification body:</p> <p>a) take responsibility for all activities outsourced?;</p> <p>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?;</p> <p>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?;</p> <p>d) maintain a list of approved providers of outsourced services?;</p> <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?</p>					
7. 7.1 7.1.2;	<b>Process Requirements : Clause to will be covered by vertical checklist</b>					
7.1.3	<b>Complaints and Appeal</b>					
7.1.3.1 7.1.3.2	<p>Are processes documented to receive, evaluate and make decisions on complaints and appeals?</p> <p>How does the CB record and track complaints and appeals and actions undertaken to resolve them?</p>					
7.1.3.3	How does the certification body acknowledge receipt of a formal complaint or appeal?					
7.1.3.4	Is the certification body responsible for gathering and verifying all necessary information (to the extent possible) to progress the complaint or appeal to a decision?					
7.1.3.5	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?					
7.1.3.6	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?				
7.1.3.7	How does the certification body give formal notice of the outcome and end of the complaint process to the Complainant?				
7.1.3.8	How does the certification body give formal notice of the outcome and end of the appeal process to the appellant?				
7.1.3.9	How does the certification body take any needed subsequent action to resolve the complaint or appeal?				
<b>8</b>	<b>Management System Requirements</b>				
<b>8.1</b>	<b>Options</b>				
	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)?				
<b>8.2</b>	<b>General Management System Documentation (option a)</b>				
8.2.1	<ul style="list-style-type: none"> <li>• How does the certification body's top management establish, documents and maintain policies and objectives for fulfillment of this international standard and the certification scheme?</li> <li>• how does it ensure the policies and objectives are acknowledged and implemented at all levels of the certification body's organization?</li> </ul>				
8.2.2	Has a member of management been appointed by top management to take responsibility for:				
	<ul style="list-style-type: none"> <li>• ensuring that processes and procedures needed for the management system are established, implemented and maintained?</li> <li>• reporting to top management on the performance of the management system and any need for improvement?</li> </ul>				
	<ul style="list-style-type: none"> <li>• Are all documentation, processes, systems, records, etc. related to the</li> </ul>				

	<p>fulfillment of the requirements of this International Standard included, referenced, or linked to documentation of the management system?</p> <ul style="list-style-type: none"> <li>Do all personnel involved in certification activities have access to the parts of the management system documentation (and related information above) that is applicable to their responsibilities?</li> </ul>					
8.3	<b>Documents Control (Option A)</b>					
	<p>Has the certification body 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: i) approval prior to issue; ii) review and re-approval of documents; iii) revision status identified; iv) availability; v) documentation is legible and identifiable; vi) documentation of external origin are identified and distribution controlled; vii) obsolete documentation is maintained so as to prevent un-intended use.</p>					
8.4	<b>Control of Records (option a)</b>					
8.4.1	<p>Has the certification body established procedures to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of its records related to the fulfillment of this International Standard?</p>					
8.4.2	<p>Has the certification body established procedures for retaining records for a period consistent with its contractual and legal obligations?</p>					
8.5	<b>Management Review (Option A)</b>					
8.5.1	<p>General</p> <p>Has the certification body's top management established procedures to review its</p>					

	<p>management system at planned intervals to ensure its continuing suitability, adequacy and effectiveness, including the stated policies and objectives related to the fulfillment of this International Standard?</p> <p>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>					
8.5.2	<p>Review inputs</p> <p>How does the input to the management review include information related to:</p> <ul style="list-style-type: none"> <li>a) Results of internal and external audits</li> <li>b) Feedback from clients and interested parties related to the fulfillment of this international standards</li> <li>c) Feedback from the mechanism for safeguarding impartiality</li> <li>d) The status of preventative and corrective actions</li> <li>e) Follow-up actions from previous management reviews( if any)</li> <li>f) The fulfillment of objectives</li> <li>g) Changes that could affect the management system and,</li> <li>h. Appeals and complaints</li> </ul>					
8.5.3	<p><b>Review Outputs</b></p> <p>How do the outputs from the management review include decisions and actions related to:</p>					
	<ul style="list-style-type: none"> <li>a. improvement of the effectiveness of the management system and its processes</li> <li>b. improvement of the fulfillment of this International Standard</li> <li>c. Resource needs?</li> </ul>					

8.6	<b>Internal Audits (Option A)</b>					
8.6.1	How does the CB establish procedures for internal audit to verify that it fulfills the requirements of this International Standard and that the management system is effectively implemented and maintained?					
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?					
8.6.3	<p>Does the CB perform internal audits at least once a year or; review broken frame up into segments (or rolling internal audits) completed within a 12 month time?</p> <p>a. Are procedures in place that addresses the Changing of frequency of internal audits performed (without affecting the effectiveness of the management system)?</p> <p>b. Are records of decisions taken to change the frequency of internal audits maintained?</p> <p>How does the CB ensure that:</p> <p>a. Internal audits are conducted by personnel knowledgeable in certification, auditing and the requirements of this international standard</p> <p>b. .Auditors don't audit their work</p> <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>					

	e. Any opportunities for improvement are identified?				
8.7	<b>Corrective Actions (Option A)</b>				
	<p>How does the CB establish procedures for identification and management of nonconformities in its operations?</p> <p>How does the CB take actions to eliminate the causes of nonconformities in order to prevent recurrence?</p> <p>Are corrective actions appropriate to the impact of the problems encountered?</p> <p>Do the procedures for corrective actions define requirements for?</p> <ul style="list-style-type: none"> <li>a) Identification of nonconformities</li> <li>b) Determination of the nonconformity cause</li> <li>c) Correcting of nonconformities</li> <li>d) Evaluating the need for actions to ensure that nonconformities don't re-occur</li> <li>e) Determining and implementing actions needed in a timely manner</li> <li>f) Recording of results of actions taken</li> <li>g) Reviewing the effectiveness of corrective actions</li> </ul>				
8.8	<b>Preventive Actions (Option A)</b>				
	<p>How does the certification body establish procedures for taking preventive actions to eliminate the causes of potential nonconformities?</p> <p>Are preventive actions taken appropriate to the probable impact of the potential problems?</p> <p>Do the procedures for preventive actions define requirements for:</p> <ul style="list-style-type: none"> <li>a) identifying potential nonconformities and</li> </ul>				

