

全国认证认可标准化技术委员会

国认标委秘函 (2014) 7 号

关于对 ISO/IEC DIS 17021-1 《合格评定 管理体系审核与认证机构要求 第 1 部分：要求》征求意见的函

各位委员、通讯成员及有关单位：

国际标准化组织(以下简称 ISO) 已启动 ISO/IEC DIS 17021-1 《合格评定 管理体系审核认证机构要求 第 1 部分：要求》的投票。该标准由 ISO/CASCO/WG21 工作组负责修订，全国认证认可标准化技术委员会（以下简称 SAC/TC261）已组建 WG21 国内对口工作组负责跟踪该项国际标准。为保证对口工作组专家在投票中充分表达我国意见，SAC/TC261 决定面向社会公开征求投票意见。请各委员及有关单位认真研究并提出意见，并将意见反馈表的电子文本于 2014 年 3 月 14 日前发送至 SAC/TC261 秘书处。

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附件:1.ISO/IEC DIS 17021-1 原文及修订要点
2.意见反馈表



附件 1

ISO/IEC DIS 17021-1 修订要点

目前的 DIS 草案相对于现在的 ISO/IEC 17021:2011 的主要变化如下：

(1) 术语和定义：调整“技术领域”；增加“严重不符合”、“轻微不符合”和“技术专家”

(2) “管理体系认证的原则”（2011 版第 4 章）：增加“基于风险的方法”，并引用 19011 中的“审核原则”

(3) “通用要求”（2011 版第 5 章）：细化关于认证协议内容的要求；在公正性管理中引入风险分析的概念

(4) “结构要求”（2011 版第 6 章）：不再要求“公正性委员会”，改为要求“维护公正性的机制”，与 17065 一致

(5) “资源要求”（2011 版第 7 章）：微调

(6) “信息要求”（2011 版第 8 章）：获证组织详细信息从“可公开获取”变为“应索提供”；认证机构的体系认证标志不得在产品或产品包装（不论是否消费者可见）上使用；允许在产品或产品包装上使用文字“在获得认证的管理体系下生产”

(7) “过程要求”（2011 版第 9 章）：

a) 条款顺序的调整：从“通用、初次、监督、再认证”改为“认

证前、初次、监督、再认证”；

b)在正文中（“现场审核”）增加关于远程审核和使用电子方式审核的要求和说明；

c)增加审核报告内容要求；

d)认证决定的要求仿照 17065 修改（可由在认证机构的“组织控制”下的人员作出）；

e)1 监由“ 2 阶段审核最后一天起 12 个月内”改为“认证日期起 12 个月内”；

f)再认证审核中的严重不符合应在认证到期日前将纠正和纠正措施验证完，否则不得推荐再认证，也不得延长认证有效期；当由于未能完成再认证而导致认证到期，认证机构如果能在半年内完成未尽事宜，可直接发新证，而不需要经过初次认证的步骤。

（8）附录 A“知识和技能”：（去掉“+”）增加对表内每项知识和技能的文字描述。

DIS 稿存在的主要问题：

由于 WG21 第四次会议需要讨论的反馈意见较多，因此未能留出时间对上面（7）中所述的第 9 章“过程要求”条款顺序的调整进行专门研究，因此本次会后形成的草案中，仅仅是在对第 9 章的文本进行了上面（7）中提到的其他修改后，再按“认证前、初次、监督、再认证”对条款次序进行了重新排列，还没有来得及考虑这种重排对条款的文本和措辞带来的影响。

附件 2

ISO/IEC DIS 17021-1 《合格评定 管理体系审核认证机构要求》意见反馈表

序号	标准条款号	意见和建议	修改原因
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			
12.			

(可另外附页)

填写单位：_____ 姓名：_____ 电话：_____ Email：_____

DRAFT INTERNATIONAL STANDARD

ISO/IEC DIS 17021-1

ISO/CASCO

Secretariat: ISO

Voting begins on:
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Voting terminates on:
2014-05-05

Conformity assessment — Requirements for bodies providing audit and certification of management systems —

Part 1: Requirements

Évaluation de la conformité — Exigences pour les organismes procédant à l'audit et à la certification des systèmes de management —

Partie 1: Exigences

[Revision of second edition (ISO/IEC 17021:2011)]

ICS: 03.120.20

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Contents

Page

Foreword.....	vi
Introduction	vii
1 Scope	2
2 Normative references	2
3 Terms and definitions	2
4 Principles.....	5
4.1 General.....	5
4.2 Impartiality.....	6
4.3 Competence	6
4.4 Responsibility	6
4.5 Openness.....	6
4.6 Confidentiality.....	7
4.7 Responsiveness to complaints	7
4.8 Risk-based approach	7
5 General requirements.....	7
5.1 Legal and contractual matters.....	7
5.2 Management of impartiality	8
5.3 Liability and financing.....	10
6 Structural requirements	10
6.1 Organizational structure and top management.....	10
7 Resource requirements.....	11
7.1 Competence of management and personnel	11
7.2 Personnel involved in the certification activities	12
7.3 Use of individual external auditors and external technical experts	13
7.4 Personnel records	13
7.5 Outsourcing.....	13
8 Information requirements	14
8.1 Public information	14
8.2 Certification documents.....	15
8.3 Reference to certification and use of marks	15
8.4 Confidentiality	16
8.5 Information exchange between a certification body and its clients.....	17
9 Process requirements	18
9.1 Pre-Certification Activities	18
9.2 Initial Certification.....	21
9.3 Planning Audits.....	22
9.4 Conducting Audits.....	25
9.5 Certification Decision.....	29
9.6 Maintaining Certification.....	31
10 Management system requirements for certification bodies	36
10.1 Options	36
10.2 Option A: General management system requirements	36
10.3 Option B: Management system requirements in accordance with ISO 9001	39
Annex A (normative) Required knowledge and skills	40
Annex B (informative) Possible evaluation methods	43

Annex C (informative) Example of a process flow for determining and maintaining competence	45
Annex D (informative) Desired personal behaviours	47
Annex E (informative) Third-party audit and certification process	48
Bibliography	50

Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

The main task of technical committees is to prepare International Standards. Draft International Standards adopted by the technical committees are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights.

ISO/IEC 17021 was prepared by Technical Committee ISO/TC CASCO, , Subcommittee SC , .

This second/third/... edition cancels and replaces the first/second/... edition (), [clause(s) / subclause(s) / table(s) / figure(s) / annex(es)] of which [has / have] been technically revised.

Introduction

Certification of a management system, such as a quality or environmental management system of an organization is one means of providing assurance that the organization has implemented a system for the management of the relevant aspects of its activities, in line with the organisation's policy.

This International Standard specifies requirements for bodies providing audits and certification of management systems. Observance of these requirements is intended to ensure that certification bodies operate management system certification in a competent, consistent and impartial manner, thereby facilitating the recognition of such bodies and the acceptance of their certifications on a national and international basis. This International Standard serves as a foundation for facilitating the recognition of management system certification in the interests of international trade.

Certification of a management system provides independent demonstration that the management system of the organization

- a) conforms to specified requirements,
- b) is capable of consistently achieving its stated policy and objectives, and
- c) is effectively implemented.

Conformity assessment such as certification of a management system thereby provides value to the organization, its customers and interested parties.

In this International Standard, Clause 4 describes the principles on which credible certification is based. These principles help the reader to understand the essential nature of certification and they are a necessary prelude to Clauses 5 to 10. These principles underpin all the requirements in this International Standard, but such principles are not auditable requirements in their own right. Clause 10 describes two alternative ways of supporting and demonstrating the consistent achievement of the requirements in this International Standard through the establishment of a management system by the certification body.

This International Standard is intended for use by bodies that provide audit and certification of management systems. It gives generic requirements for such bodies performing audit and certification in the field of quality, environmental and other forms of management systems. Such bodies are referred to as certification bodies.

Certification activities involve the audit of an organization's management system. The form of attestation of conformity of an organization's management system to a specific management system standard or other normative requirements is normally a certification document or a certificate.

This International Standard is applicable to the auditing and certification of any type of management system. It is recognized that some of the requirements, and in particular those related to auditor competence, can be supplemented with additional criteria in order to achieve the expectations of the interested parties.

In this International Standard, the following verbal forms are used:

- "shall" indicates a requirement;
- "should" indicates a recommendation;
- "may" indicates a permission;
- "can" indicates a possibility or a capability.

Further details can be found in the ISO/IEC Directives, Part 2.

Conformity assessment — Requirements for bodies providing audit and certification of management systems

Part 1: Requirements

1 Scope

This International Standard contains principles and requirements for the competence, consistency and impartiality of the audit and certification of management systems of all types (e.g. quality management systems, environmental management systems) and for bodies providing these activities. Certification bodies operating to this International Standard need not offer all types of management system certification.

Certification of management systems (named in this International Standard “certification”) is a third-party conformity assessment activity (see ISO/IEC 17000:2004, 5.5). Bodies performing this activity are therefore third-party conformity assessment bodies (named in this International Standard “certification bodies”).

NOTE 1 A certification body can be non-governmental or governmental (with or without regulatory authority).

NOTE 2 This International Standard can be used as a criteria document for accreditation or peer assessment or other audit processes.

2 Normative references

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 9000, *Quality management systems — Fundamentals and vocabulary*

ISO/IEC 17000, *Conformity assessment — Vocabulary and general principles*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 9000, ISO/IEC 17000 and the following apply.

3.1

certified client

organization whose management system has been certified

3.2

impartiality

presence of objectivity

NOTE 1 Objectivity means that conflicts of interest do not exist or are resolved so as not to adversely influence subsequent activities of the certification body.

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NOTE 2 Other terms that are useful in conveying the element of impartiality are: objectivity, independence, freedom from conflict of interests, freedom from bias, lack of prejudice, neutrality, fairness, open-mindedness, even-handedness, detachment, balance.

3.3

management system consultancy

participation in establishing, implementing or maintaining a management system

EXAMPLES

- a) preparing or producing manuals or procedures, and
- b) giving specific advice, instructions or solutions towards the development and implementation of a management system.

NOTE Arranging training and participating as a trainer is not considered consultancy, provided that, where the course relates to management systems or auditing, it is confined to the provision of generic information that is freely available in the public domain; i.e. the trainer should not provide company-specific solutions.

3.4

third-party certification audit

audit carried out by an auditing organization independent of the client and the user, for the purpose of certifying the client's management system

NOTE 1 In the definitions which follow, the term "audit" has been used for simplicity to refer to third-party certification audit.

NOTE 2 Third-party certification audits include initial, surveillance, re-certification audits, and can also include special audits.

NOTE 3 Third-party certification audits are typically conducted by audit teams of those bodies providing certification of conformity to the requirements of management system standards.

NOTE 4 A joint audit is when two or more auditing organizations cooperate to audit a single client.

NOTE 5 A combined audit is when a client is being audited against the requirements of two or more management systems standards together.

NOTE 6 An integrated audit is when a client has integrated the application of requirements of two or more management systems standards into a single management system and is being audited against more than one standard.

3.5

Client

organization whose management system is being audited for certification purposes

3.6

auditor

person who conducts an audit

3.7

competence

ability to apply knowledge and skills to achieve intended results

3.8

guide

person appointed by the client to assist the audit team

3.9

observer

person who accompanies the audit team but does not audit

3.10

technical area

area characterized by commonalities of processes relevant to a specific type of management system and its desired intent

3.11

Non Conformity

Non fulfillment of a requirement

NOTE A non conformity exists when an applicable requirement has not been addressed, a practice differs from the defined management system or the management system is not effective.

3.12

Major non conformity

Non fulfillment of one or more requirements of the management system that impacts the capability of the management system to achieve the intended outcomes.

NOTE classifying non conformities as major could be as follows:

- a significant doubt that effective process control is in place or products or services will meet specified requirements.
- a number of minor non conformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major non conformity
- a minor non-conformity that is persistent (or not corrected as agreed by the organisation) may be up-graded to major non conformity

3.13

Minor non conformity

Non fulfillment of one or more requirement which does not impact the capability of the management system to achieve the intended outcomes.

3.14

technical expert

person who provides specific knowledge or expertise to the audit team

NOTE 1 Specific knowledge or expertise is that which relates to the organization, the process or activity to be audited, or language or culture.

NOTE 2 A technical expert does not act as an auditor in the audit team

3.15

certification scheme

conformity assessment system related to management systems to which the same specified requirements, specific rules and procedures apply

3.16

audit time

time needed to plan and accomplish a complete and effective audit of the client organization's management system

3.17

duration of management system certification audits

part of audit time spent conducting audit activities from the opening meeting to the closing meeting, inclusive

Note 1 to entry: Audit activities normally include:

- conducting the opening meeting;
- performing document review while conducting the audit;
- communicating during the audit;
- assigning roles and responsibilities of guides and observers;
- collecting and verifying information;
- generating audit findings;
- preparing audit conclusions;
- conducting the closing meeting.

4 Principles

4.1 General

4.1.1 These principles are the basis for the subsequent specific performance and descriptive requirements in this International Standard. This International Standard does not give specific requirements for all situations that can occur. These principles should be applied as guidance for the decisions that may need to be made for unanticipated situations. Principles are not requirements.

4.1.2 The overall aim of certification is to give confidence to all parties that a management system fulfils specified requirements. The value of certification is the degree of public confidence and trust that is established by an impartial and competent assessment by a third-party. Parties that have an interest in certification include, but are not limited to

- a) the clients of the certification bodies,
- b) the customers of the organizations whose management systems are certified,
- c) governmental authorities,
- d) non-governmental organizations, and
- e) consumers and other members of the public.

4.1.3 Principles for inspiring confidence include

- impartiality,
- competence,
- responsibility,
- openness,
- confidentiality, and
- responsiveness to complaints
- risk-based approach.

NOTE This International Standard sets out the principles of certification in clause 4, whereas the corresponding principles related to auditing can be found in ISO 19011 clause 4

4.2 Impartiality

4.2.1 Being impartial, and being perceived to be impartial, is necessary for a certification body to deliver certification that provides confidence. It is important that all internal and external personnel are aware of the need for impartiality.

4.2.2 It is recognized that the source of revenue for a certification body is its client paying for certification, and that this is a potential threat to impartiality.

4.2.3 To obtain and maintain confidence, it is essential that a certification body's decisions be based on objective evidence of conformity (or nonconformity) obtained by the certification body, and that its decisions are not influenced by other interests or by other parties.

4.2.4 Threats to impartiality may include but are not limited to

- a) Self-interest: threats that arise from a person or body acting in their own interest. A concern related to certification, as a threat to impartiality, is financial self-interest.
- b) Self-review: threats that arise from a person or body reviewing the work done by themselves. Auditing the management systems of a client to whom the certification body provided management systems consultancy would be a self-review threat.
- c) Familiarity (or trust): threats that arise from a person or body being too familiar with or trusting of another person instead of seeking audit evidence.
- d) Intimidation: threats that arise from a person or body having a perception of being coerced openly or secretly, such as a threat to be replaced or reported to a supervisor.

4.3 Competence

Competence of the personnel supported by the management system of the certification body is necessary to deliver certification that provides confidence.

4.4 Responsibility

4.4.1 The client organization, not the certification body, has the responsibility for conformity with the requirements for certification.

4.4.2 The certification body has the responsibility to assess sufficient objective evidence upon which to base a certification decision. Based on audit conclusions, it makes a decision to grant certification if there is sufficient evidence of conformity, or not to grant certification if there is not sufficient evidence of conformity.

NOTE Any audit is based on sampling within an organization's management system and therefore is not a guarantee of 100 % conformity with requirements.

4.5 Openness

4.5.1 A certification body needs to provide public access to, or disclosure of, appropriate and timely information about its audit process and certification process, and about the certification status (i.e. the granting, refusing, maintaining of certification, extending or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification) of any organization, in order to gain confidence in the

integrity and credibility of certification. Openness is a principle of access to, or disclosure of, appropriate information.

4.5.2 To gain or maintain confidence in certification, a certification body should provide appropriate access to, or disclosure of, non-confidential information about the conclusions of specific audits (e.g. audits in response to complaints) to specific interested parties.

4.6 Confidentiality

To gain the privileged access to information that is needed for the certification body to assess conformity to requirements for certification adequately, it is essential that a certification body keep confidential any proprietary information about a client.

4.7 Responsiveness to complaints

Parties that rely on certification expect to have complaints investigated and, if these are found to be valid, should have confidence that the complaints will be appropriately addressed and that a reasonable effort will be made to resolve the complaints. Effective responsiveness to complaints is an important means of protection for the certification body, its clients and other users of certification against errors, omissions or unreasonable behaviour. Confidence in certification activities is safeguarded when complaints are processed appropriately.

NOTE An appropriate balance between the principles of openness and confidentiality, including responsiveness to complaints, is necessary in order to demonstrate integrity and credibility to all users of certification.

4.8 Risk-based approach

Certification Bodies need to take into account the uncertainty of achieving their objectives. Risks may include those associated with:

- the objectives of the audit
- real and perceived impartiality
- legal, regulatory and liability issues
- the risks of the client organization being audited and its operating environment
- impact of the audit on the client organization and its activities
- health and safety of the audit teams
- perception of interested parties
- claims of the client
- use of marks

5 General requirements

5.1 Legal and contractual matters

5.1.1 Legal responsibility

5.1.1.1 The certification body shall be a legal entity, or a defined part of a legal entity that can be held legally responsible for all its certification activities. A governmental certification body is deemed to be a legal entity on the basis of its governmental status.

5.1.2 Certification agreement

The certification body shall have a legally enforceable agreement for the provision of certification activities to its client. In addition, where there are multiple offices of a certification body or multiple sites of a client, the certification body shall ensure there is a legally enforceable agreement between the certification body granting certification and issuing a certificate, and all the sites covered by the scope of the certification.

The certification body shall ensure its certification agreement requires that the client comply at least, with the following:

- a) the client always fulfils the certification requirements, including implementing appropriate changes when they are communicated by the certification body;
- b) the client agrees to facilitate all necessary arrangements for
 - 1) the conduct of the audits;
 - 2) investigation of complaints and makes records available to the certification body when requested;
 - 3) the participation of observers and technical experts, if applicable;
- c) the client makes claims regarding certification consistent with the scope of certification;
- d) the client does not use its certification in such a manner as to bring the certification body into disrepute and does not make any statement regarding its certification that the certification body may consider misleading or unauthorized;
- e) upon suspension, withdrawal, or termination of certification, the client discontinues its use of all advertising matter that contains any reference thereto;
- f) 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;
- g) in making reference to its 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;
- h) the client complies with any requirements that may be prescribed by the certification body or the certification scheme relating to the use of marks of conformity and on other information (See also ISO/IEC 17030).
- i) the client informs the certification body, without delay, of changes that may affect its ability to conform with the certification requirements (see 8.5.2 and 8.5.3).

5.1.3 Responsibility for certification decisions

The certification body shall be responsible for, and shall retain authority for, its decisions relating to certification, including the granting, refusing, maintaining of certification, extending or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification.

5.2 Management of impartiality

5.2.1 Conformity assessment activities shall be undertaken impartially. The certification body shall be responsible for the impartiality of its conformity assessment activities and shall not allow commercial, financial or other pressures to compromise impartiality.

5.2.2 The certification body shall have top management commitment to impartiality in management system certification activities. The certification body shall have a policy that it understands the importance of impartiality in carrying out its management system certification activities, manages conflict of interest and ensures the objectivity of its management system certification activities.

5.2.3 The certification body shall identify, analyse, evaluate, treat, monitor, and document the risks related to conflict of interests arising from provision of certification including any conflicts arising from its relationships on an ongoing basis. Where there are any threats to impartiality, the certification body shall document and demonstrate how it eliminates or minimizes such risks and document any residual risk. The demonstration shall cover all potential threats that are identified, whether they arise from within the certification body or from the activities of other persons, bodies or organizations.

Top management shall review any residual risk to determine if it is within the level of acceptable risk.

The risk assessment process shall include identification of and consultation with appropriate interested parties advise on matters affecting confidence in certification, including impartiality, openness and public perception. The consultation with appropriate interested parties shall be balanced with no single interest predominating.

NOTE 1 Sources of threats to impartiality of the certification body can be based on ownership, governance, management, personnel, shared resources, finances, contracts, training, marketing and payment of a sales commission or other inducement for the referral of new clients, etc.

NOTE 2 interested parties can include: personnel and clients of the certification body, customers of organizations whose management systems are certified, representatives of industry trade associations, representatives of governmental regulatory bodies or other governmental services, or representatives of non-governmental organizations, including consumer organizations.

5.2.4 When a relationship poses an unacceptable threat to impartiality (such as a wholly owned subsidiary of the certification body requesting certification from its parent), then certification shall not be provided. A certification body shall not certify another certification body for its quality management system.

NOTE See Note 1 to 5.2.3

5.2.5 The certification body and any part of the same legal entity shall not offer or provide management system consultancy. This also applies to that part of government identified as the certification body.

5.2.6 The certification body and any part of the same legal entity shall not offer or provide internal audits to its certified clients. The certification body shall not certify a management system on which it provided internal audits within two years following the end of the internal audits. This also applies to that part of government identified as the certification body.

NOTE See Note 1 to 5.2.3.

5.2.7 The certification body shall not certify a management system on which a client has received management system consultancy or internal audits, where the relationship between the consultancy organization and the certification body poses an unacceptable threat to the impartiality of the certification body.

NOTE 1 Allowing a minimum period of two years to elapse following the end of the management system consultancy is one way of reducing the threat to impartiality to an acceptable level.

NOTE 2 See Note 1 to 5.2.3.

5.2.8 The certification body shall not outsource audits to a management system consultancy organization, as this poses an unacceptable threat to the impartiality of the certification body (see 7.5). This does not apply to individuals contracted as auditors covered in 7.3.

5.2.9 The certification body's activities shall not be marketed or offered as linked with the activities of an organization that provides management system consultancy. The certification body shall take action to correct inappropriate claims by any consultancy organization stating or implying that certification would be simpler, easier, faster or less expensive if the certification body were used. A certification body shall not state or imply that certification would be simpler, easier, faster or less expensive if a specified consultancy organization were used.

5.2.10 To ensure that there is no conflict of interests, personnel who have provided management system consultancy, including those acting in a managerial capacity, shall not be used by the certification body to take

part in an audit or other certification activities if they have been involved in management system consultancy towards the client in question within two years following the end of the consultancy.

5.2.11 The certification body shall take action to respond to any threats to its impartiality arising from the actions of other persons, bodies or organizations.

5.2.12 All certification body personnel, either internal or external, or committees, who could influence the certification activities, shall act impartially and shall not allow commercial, financial or other pressures to compromise impartiality.

5.2.13 Certification bodies shall require personnel, internal and external, to reveal any situation known to them that may present them or the certification body with a conflict of interests. Certification bodies shall use this information as input to identifying threats to impartiality raised by the activities of such personnel or by the organizations that employ them, and shall not use such personnel, internal or external, unless they can demonstrate that there is no conflict of interests.

5.3 Liability and financing

5.3.1 The certification body shall be able to demonstrate that it has evaluated the risks arising from its certification activities and that it has adequate arrangements (e.g. insurance or reserves) to cover liabilities arising from its operations in each of its fields of activities and the geographic areas in which it operates.

5.3.2 The certification body shall evaluate its finances and sources of income and demonstrate that initially, and on an ongoing basis, commercial, financial or other pressures do not compromise its impartiality.

6 Structural requirements

6.1 Organizational structure and top management

6.1.1 The certification body shall document its organizational structure, showing duties, responsibilities and authorities of management and other certification personnel and any committees. When the certification body is a defined part of a legal entity, the structure shall include the line of authority and the relationship to other parts within the same legal entity.

6.1.2 Certification activities shall be structured and managed so as to safeguard impartiality

6.1.3 The certification body shall identify the top management (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 body;
- b) supervision of the implementation of the policies and procedures;
- c) ensuring impartiality
- d) supervision of the finances of the body;
- e) development of management system certification services and schemes;
- f) performance of audits and certification, and responsiveness to complaints;
- g) decisions on certification;

- h) delegation of authority to committees or individuals, as required, to undertake defined activities on its behalf;
- i) contractual arrangements;
- j) provision of adequate resources for certification activities.

6.1.4 The certification body shall have formal rules for the appointment, terms of reference and operation of any committees that are involved in the certification activities.

6.1.5 The certification body shall have a process for the effective control of certification activities delivered by branch offices, partnerships, agents, franchisees, etc, irrespective of their legal status, relationship or location. Geographical expansion of certification activities shall be included in risk management activities by the certification body. Risk management activities shall consider, among other risks, the risk that the activities pose to the competence, consistency and impartiality of the certification body.

NOTE The risk assessment should consider the appropriate level and method of control of activities undertaken including its processes, technical areas of CB operations, competence of personnel, lines of management control, reporting mechanisms and remote access to operations including records

7 Resource requirements

7.1 Competence of management and personnel

7.1.1 General considerations

The certification body shall have processes to ensure that personnel have appropriate knowledge and skills relevant to the types of management systems (e.g., EMS, QMS, ISMS) and geographic areas in which it operates.

It shall determine the competence required for each technical area, and for each certification function.

It shall determine the means for the demonstration of competence prior to carrying out specific functions.

7.1.2 Determination of competence criteria

The certification body shall have a process for determining the competence criteria for personnel involved in the management and performance of audits and certification. Competence criteria shall be determined with regard to the requirements of each type of management system standard or specification, for each technical area, and for each function in the certification process. The output of the process shall be the documented criteria of required knowledge and skills necessary to effectively perform audit and certification tasks to be fulfilled to achieve the intended results. Annex A specifies the knowledge and skills that a certification body shall define for specific functions. Where additional specific competence criteria have been established for a specific certification scheme, these shall be applied.

NOTE The term “technical area” as used in this International Standard is a generic term used to describe broad areas of business activities which can be readily grouped together with respect to the management System standard under consideration. It is used to cover a number of other terms such as “scopes”, “categories”, “sectors”, etc., which are traditionally used in different management system disciplines.

Therefore the term 'technical area' can be applied differently depending on the management system standard being considered. For any management system, the term is related to products and processes in the context of the scope of the management system standard. The technical areas can be defined by a specific certification scheme (e.g. ISO/TS 22003); or can be determined by the certification body.

7.1.3 Evaluation processes

The certification body shall 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, applying the determined competence criteria. The certification body shall demonstrate that its evaluation methods are effective. The output from these processes shall be to identify personnel who have demonstrated the level of competence required for the different functions of the audit and certification process. Competence shall be demonstrated prior to the individual taking the responsibility for the specific functions

NOTE A number of evaluation methods that can be used to evaluate are described in Annex B.

7.1.4 Other considerations

The certification body shall have access to the necessary technical expertise for advice on matters directly relating to certification for technical areas, types of management system and geographic areas in which the certification body operates. Such advice may be provided externally or by certification body personnel.

7.2 Personnel involved in the certification activities

7.2.1 The certification body shall have sufficient, competent personnel for managing and supporting the type and range of audit programmes and other certification work performed.

7.2.2 The certification body shall employ, or have access to, a sufficient number of auditors, including audit team leaders, and technical experts to cover all of its activities and to handle the volume of audit work performed.

7.2.3 The certification body shall make clear to each person concerned their duties, responsibilities and authorities.

7.2.4 The certification body shall have defined processes for selecting, training, formally authorizing auditors and for selecting and orienting technical experts used in the certification activity. The initial competence evaluation of an auditor shall include the ability to apply required knowledge and skills during audits, as determined by a competent evaluator observing the auditor conducting an audit.

NOTE During the selection and training process described above desired personal behaviours can be considered. These are characteristics that affect an individual's ability to perform specific functions. Therefore, knowledge about the behaviours of individuals enables a certification body to take advantage of their strengths and to minimize the impact of their weaknesses. Desired personal behaviours that are important for personnel involved in certification activities are described in Annex D.

7.2.5 The certification body shall 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.

7.2.6 The certification body shall ensure that auditors (and, where needed, technical experts) are knowledgeable of its audit processes, certification requirements and other relevant requirements. The certification body shall 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.

7.2.7 The certification body shall identify training needs and shall offer or provide access to specific training to ensure its auditors, technical experts and other personnel involved in certification activities are competent for the functions they perform.

7.2.8 The group or individual that takes the decision on granting, refusing, maintaining of certification, extending or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of

certification... shall understand the applicable standard and certification requirements, and shall have demonstrated competence to evaluate the audit processes and related recommendations of the audit team.

7.2.9 The certification body shall ensure the satisfactory performance of all personnel involved in the audit and other certification activities. There shall be documented procedures and criteria for monitoring and measurement of the performance of all persons involved, based on the frequency of their usage and the level of risk linked to their activities. In particular, the certification body shall review the competence of its personnel in the light of their performance in order to identify training needs.

7.2.10 The documented monitoring procedures for auditors shall include a combination of on-site observation, review of audit reports and feedback from clients or from the market and shall be defined in documented requirements. This monitoring shall be designed in such a way as to minimize disturbance to the normal processes of certification, especially from the client's viewpoint.

7.2.11 The certification body shall periodically observe the performance of each auditor on-site. The frequency of on-site observations shall be based on need determined from all monitoring information available.

7.3 Use of individual external auditors and external technical experts

The certification body shall require external auditors and external technical experts to have a written agreement by which they commit themselves to comply with applicable policies and procedures as defined by the certification body. The agreement shall address aspects relating to confidentiality and impartiality and shall require the external auditors and external technical experts to notify the certification body of any existing or prior relationship with any organization they may be assigned to audit.

NOTE Use of individuals or employees of other organizations to provide additional resources or expertise under this arrangement does not constitute outsourcing.

7.4 Personnel records

7.4.1 The certification body shall maintain the following records on internal and external personnel involved in the certification activities including management and administrative personnel

- a) name and address;
- b) employer(s), position held, including any affiliations;
- 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
- i) any relevant consultancy services than may have been provided

7.5 Outsourcing

7.5.1 The certification body shall have a process in which it describes the conditions under which outsourcing (which is subcontracting to another organization to provide part of the certification activities on behalf of the certification body) may take place. The certification body shall have a legally enforceable

agreement covering the arrangements, including confidentiality and conflict of interests, with each body that provides outsourced services.

NOTE 1 Where the certification body engages individuals or employees of other organizations to provide additional resources or expertise, these individuals do not constitute outsourcing provided they are formally contracted to operate under the certification body's management system (see 7.2.2).

NOTE 2 For the purposes of this International Standard, the terms "outsourcing" and "subcontracting" are considered to be synonyms.

7.5.2 Decisions for granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification shall never be outsourced.

7.5.3 The certification body shall

- a) take responsibility for all activities outsourced to another body,
- b) ensure that the body that provides outsourced services, and the individuals that it uses, conform to requirements of the certification body and also to the applicable provisions of this International Standard, including competence, impartiality and confidentiality, and
- c) ensure that the body that provides outsourced services, and the individuals that it uses, is not involved, either directly or through any other employer, with an organization to be audited, in such a way that impartiality could be compromised.

7.5.4 The certification body shall have a process for the qualification and monitoring of all bodies that provide outsourced services used for certification activities, and shall ensure that records of the competence of auditors and technical experts are maintained.

8 Information requirements

8.1 Public information

8.1.1 The certification body shall maintain (through publications, electronic media or other means), and make public, without request, in all the geographical areas in which it operates, information about

- a) audit processes;
- b) processes for granting, refusing, maintaining of certification, extending or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification;
- c) types of management systems in which it operates;
- d) the use of the CB's name and certification mark or logo;
- e) processes for handling complaints and appeals;
- f) policy on impartiality.

8.1.2 The certification body shall provide upon request information about;

- a) geographical areas in which it operates;

- b) the status of a given certification;
- c) the name, relative normative document, scope and geographical location (city and country) for a specific certified client.

NOTE In exceptional cases, access to certain information can be limited on the request of the client (e.g. for security reasons).

8.1.3 Information provided by the certification body to any client or to the marketplace, including advertising, shall be accurate and not misleading.

8.2 Certification documents

8.2.1 The certification body shall provide certification documents to the certified client by any means it chooses.

8.2.2 The effective date on a certification document shall not be before the date of the certification decision.

8.2.3 The certification document(s) shall identify the following:

- a) the name and geographic location of each client whose management system is certified (or the geographic location of the headquarters and any sites within the scope of a multi-site certification);
- b) the dates of granting, extending or reducing the scope of certification, or renewing certification;

NOTE the certification body can keep the original certification date or certified since date on the certificate when a certificate lapses for a period of time provided that

- the current certification cycle start and expiry date are clearly indicated (3 years)
- the last certification cycle expiry date is dated along with the date of recertification audit.
- c) the expiry date or recertification due date consistent with the recertification cycle;
- d) a unique identification code;
- e) the standard and/or other normative document, including indication of issue status (e.g. number or revision) used for audit of the certified client;
- f) the scope of certification with respect to product, process and service etc., as applicable at each site;
- g) the name, address and certification mark of the certification body; other marks (e.g. accreditation symbol, customer logo) may be used provided they are not misleading or ambiguous;
- h) any other information required by the standard and/or other normative document used for certification;
- i) in the event of issuing any revised certification documents, a means to distinguish the revised documents from any prior obsolete documents

8.3 Reference to certification and use of marks

8.3.1 A certification body shall have publicly available rules governing any management systems third party mark that it authorizes certified clients to use. These rules shall assure, among other things, traceability back to the certification body. There shall be no ambiguity, in the mark or accompanying text, as to what has been certified and which certification body has granted the certification. This mark shall not be used on a product or product packaging or in any other way that may be interpreted as denoting product conformity.

NOTE ISO/IEC 17030 provides additional information for use of third-party marks.

8.3.2 A certification body shall not permit its marks to be applied to laboratory test, calibration or inspection reports or certificates,

8.3.3 A certification body may permit its clients to use a statement on the product or product packaging or accompanying literature to demonstrate that the product has been manufactured under a certified management system

NOTE For example:

a) "This product was manufactured (or packaged, etc.) by the organization whose management system is certified by ABC Certification Body certificate number XYZ to ISO 9001, ISO 14001, etc."

b) "This service is provided by the organization whose management system is certified by ABC Certification Body, certificate number XYZ to ISO 9001, ISO 14001, etc."

8.3.4 The certification body shall require that the client organization

- a) conforms to the requirements of the certification body when making reference to its certification status in communication media such as the internet, brochures or advertising, or other documents,
- b) does not make or permit any misleading statement regarding its certification,
- c) does not use or permit the use of a certification document or any part thereof in a misleading manner,
- d) upon suspension or withdrawal of its certification, discontinues its use of all advertising matter that contains a reference to certification, as directed by the certification body (see 9.6.3 and 9.6.6),
- e) amends all advertising matter when the scope of certification has been reduced,
- f) does not allow reference to its management system certification to be used in such a way as to imply that the certification body certifies a product (including service) or process,
- g) does not imply that the certification applies to activities and sites that are outside the scope of certification, and
- h) does not use its certification in such a manner that would bring the certification body and/or certification system into disrepute and lose public trust.

8.3.5 The certification body shall exercise proper control of ownership and shall take action to deal with incorrect references to certification status or misleading use of certification documents, marks or audit reports.

NOTE Such action could include requests for correction and corrective action, suspension, withdrawal of certification, publication of the transgression and, if necessary, legal action.

8.4 Confidentiality

8.4.1 The body shall be responsible, through legally enforceable agreements, for the management of all information obtained or created during the performance of conformity assessment activities at all levels of its structure, including committees and external bodies or individuals acting on its behalf.

8.4.2 The certification body shall inform the client, in advance, of the information it intends to place in the public domain. All other information, except for information that is made publicly accessible by the client, shall be considered confidential.

8.4.3 Except as required in this International Standard, information about a particular client or individual shall not be disclosed to a third party without the written consent of the client or individual concerned.

8.4.4 Information about the client from sources other than the client (e.g. complainant, regulators) shall be treated as confidential, consistent with the certification body's policy.

8.4.5 Personnel, including any committee members, contractors, personnel of external bodies or individuals acting on the certification body's behalf, shall keep confidential all information obtained or created during the performance of the certification body's activities except as required by law.

8.4.6 The certification body shall have available and use equipment and facilities that ensure the secure handling of confidential information (e.g. documents, records).

8.4.7 When the body is required by law or authorized by contractual arrangements to release confidential information, the client or individual concerned shall, unless prohibited by law, be notified of the information provided

8.5 Information exchange between a certification body and its clients

8.5.1 Information on the certification activity and requirements

The certification body shall provide information and update clients on the following:

- a) a detailed description of the initial and continuing certification activity, including the application, initial audits, surveillance audits, and the process for granting, refusing, maintaining of certification, extending or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification ;
- b) the normative requirements for certification;
- c) information about the fees for application, initial certification and continuing certification;
- d) the certification body's requirements for prospective clients to
 - 1) comply with certification requirements,
 - 2) make all necessary arrangements for the conduct of the audits, including provision for examining documentation and the access to all processes and areas, records and personnel for the purposes of initial certification, surveillance, recertification and resolution of complaints, and
 - 3) make provisions, where applicable, to accommodate the presence of observers (e.g. accreditation auditors or trainee auditors);
- e) documents describing the rights and duties of certified clients, including requirements, when making reference to its certification in communication of any kind in line with the requirements in 8.4;
- f) information on procedures for handling complaints and appeals.

8.5.2 Notice of changes by a certification body

The certification body shall give its certified clients due notice of any changes to its requirements for certification. The certification body shall verify that each certified client complies with the new requirements.

NOTE Contractual arrangements with certified clients could be necessary to ensure implementation of these requirements. A model of a license agreement for the use of certification, including the aspects related to a notice of changes, as far as applicable, is found in Annex E of ISO/IEC Guide 28:2004.

8.5.3 Notice of changes by a client

The certification body shall have legally enforceable arrangements to ensure that the certified client informs the certification body, without delay, of matters that may affect the capability of the management system to continue to fulfil the requirements of the standard used for certification. These include, for example, changes relating to

- a) the legal, commercial, organizational status or ownership,
- b) organization and management (e.g. key managerial, decision-making or technical staff),
- c) contact address and sites,
- d) scope of operations under the certified management system, and
- e) major changes to the management system and processes.

9 Process requirements

9.1 Pre-Certification Activities

9.1.1 Application

The certification body shall require an authorized representative of the applicant organization to provide the necessary information to enable it to establish the following:

- a) the desired scope of the certification;
- b) the general features of the applicant organization, including its name and the address(es) of its physical location(s), characteristics of its processes and operations, equipment used and any relevant legal obligations;
- c) details of the applicant's organization including its name and the address(es) of its physical location(s), its processes, human and technical resources, functions, relationships and any relevant legal obligations;
- d) identification of outsourced processes used by the organization that will affect conformity to requirements;
- e) the standards or other requirements for which the applicant organization is seeking certification;
- f) use of consultancy relating to the management system.

9.1.1.1 Application review

The certification body shall conduct a review of the application and supplementary information for certification to ensure that

- a) the information about the applicant organization and its management system is sufficient to develop an audit programme;
 - b) any known difference in understanding between the certification body and the applicant organization is resolved;
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ICS 03.120.20

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- c) the certification body has the competence and ability to perform the certification activity;
- d) the scope of certification sought, the location(s) of the applicant organization's operations, time required to complete audits and any other points influencing the certification activity are taken into account (language, safety conditions, threats to impartiality, etc.);

9.1.1.2 Following the review of the application, the certification body shall either accept or decline an application for certification. When the certification body declines an application for certification as a result of the review of application, the reasons for declining an application shall be documented and made clear to the client.

NOTE When declining an application for certification, the certification body should be careful not to act in conflict with the principles set out in Clause 4.

9.1.1.3 Based on this review, the certification body shall determine the competences it needs to include in its audit team and for the certification decision.

9.1.1.4 The audit team shall be appointed and composed of auditors (and technical experts, as necessary) who, between them, have the totality of the competences identified by the certification body as set out in 9.1.13 for the certification of the applicant organization. The selection of the team shall be performed with reference to the designations of competence of auditors and technical experts made under 7.2.5, and may include the use of both internal and external human resources.

9.1.2 Audit programme

9.1.2.1 An audit programme for the full certification cycle shall be developed to clearly identify the audit activity(ies) required to demonstrate that the client's management system fulfils the requirements for certification to the selected standard(s) or other normative document(s).

9.1.2.2 The audit programme shall include a two-stage initial audit, surveillance audits in the first and second years, and a recertification audit in the third year prior to expiration of certification, unless otherwise specified by the industry-specific certification scheme. The three-year certification cycle begins with the certification or recertification decision. The determination of the audit programme and any subsequent adjustments shall consider the size of the client organization, the scope and complexity of its management system, products and processes as well as demonstrated level of management system effectiveness and the results of any previous audits.

NOTE 1 Annex E is a flowchart of a typical third-party audit and certification process.

NOTE 2 The following list contains additional items that can be considered when developing or revising an audit programme, they may also need to be addressed when determining the audit scope and developing the audit plan:

- a) complaints received by the certification body about the client;
- b) combined, integrated or joint audits
- c) changes to the certification requirements;
- d) changes to legal requirements;
- e) changes to accreditation requirements;
- f) organizational performance data [e.g. defect levels, key performance indicators (KPI) data, etc.];
- g) relevant interested parties' concerns;

NOTE 3 additional information on the design and the development of certification schemes can be found in ISO/IEC 17007.

9.1.2.3 Surveillance audits shall be conducted at least once a calendar year. The date of the first surveillance audit following initial certification shall not be more than 12 months from the certification date.

NOTE It can be necessary to adjust the periodicity of surveillance audit to accommodate factors such as seasons or management systems certification of a limited duration.

9.1.2.4 Where a certification body is taking account of certification or other audits already granted to the client, it shall collect sufficient, verifiable information to justify and record any adjustments to the audit programme.

9.1.2.4 Where the client organisation operates shifts, the activities that take place during shift working shall be considered when developing the audit programme and audit plans.

9.1.3 Determining audit time

9.1.3.1 The certification body shall have documented procedures for determining audit time, and for each client the certification body shall determine the time needed to plan and accomplish a complete and effective audit of the client's management system. The audit time determined by the certification body, and the justification for the determination, shall be recorded. In determining the audit time, the certification body shall consider, among other things, the following aspects:

- a) the requirements of the relevant management system standard;
- b) size and complexity;
- c) technological and regulatory context;
- d) any outsourcing of any activities included in the scope of the management system;
- e) the results of any prior audits;
- f) number of sites, their locations and multi-site considerations;
- g) the risks associated with the products, processes or activities of the organization;
- h) when audits are combined, joint or integrated.

Where specific criteria have been established for a specific certification scheme, e.g. ISO/TS 22003 or ISO/IEC 27006, these shall be applied.

9.1.3.2 The time spent by any team member that is not assigned as an auditor (i.e. technical experts, translators, interpreters, observers and auditors-in-training) shall not count in the above established audit time.

NOTE The use of translators, interpreters can necessitate additional audit time.

9.1.4 Multi-site sampling

Where multi-site sampling is utilized for the audit of a client's management system covering the same activity in various locations, the certification body shall develop a sampling programme to ensure proper audit of the management system. The rationale for the sampling plan shall be documented for each client. Sampling is not allowed for some specific certification schemes, and where specific criteria have been established for a specific certification scheme, e.g. ISO/TS 22003, these shall be applied.

NOTE Where there are multiple sites not covering the same activity sampling is not appropriate.

9.1.5 Multiple Management Systems

In the certification to multiple management system standards being provided by the certification body, the planning for the audit shall ensure adequate on-site audit coverage to provide confidence in the certification.

9.2 Initial Certification

9.2.1 Initial certification audit

The initial certification audit of a management system shall be conducted in two stages: stage 1 and stage 2.

9.2.1.1 Stage 1

9.2.1.1.1 The stage 1 shall be performed to

- a) review the client's management system documentation;
- b) evaluate the client's location and site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for the stage 2 a limited plan will be used to develop an audit plan for stage 2;
- c) review the client's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;
- d) collect necessary information regarding the scope of the management system, processes, equipment used and location(s) of the client including levels of controls established by head office (in case of multisite clients) and related statutory and regulatory aspects and compliance (e.g. quality, environmental, legal aspects of the client's operation, associated risks, etc.);
- e) review the allocation of resources for stage 2 and agree with the client on the details of the stage 2;
- f) provide a focus for planning the stage 2 by gaining a sufficient understanding of the client's management system and site operations in the context of possible significant aspects;
- g) evaluate if the internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for the stage 2

For most management systems, it is recommended that at least part of the stage 1 be carried out at the client's premises in order to achieve the objectives stated above.

9.2.1.1.2 Documented conclusions with regard to fulfilment of the stage 1 objectives and the readiness for Stage 2 shall be communicated to the client, including identification of any areas of concern that could be classified as a nonconformity during the stage 2

NOTE The stage 1 document need not meet the full requirements of a Report (see 9.1.10)

9.2.1.1.3 In determining the interval between stage 1 and stage 2, consideration shall be given to the needs of the client to resolve areas of concern identified during the stage 1. The certification body may also need to revise its arrangements for stage 2. If any significant changes which would impact the management system occur, the certification body shall consider the need to repeat all or part of stage 1.

The client shall be informed that the results of the stage 1 audit may lead to postponement or cancellation of the stage 2 audit.

9.2.1.2 Stage 2

The purpose of the stage 2 is to evaluate the implementation, including effectiveness, of the client's management system. The stage 2 audit shall take place at the site(s) of the client. It shall include at least the following:

- a) information and evidence about conformity to all requirements of the applicable management system standard or other normative document;
- b) performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document);
- c) the client's management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements;
- d) operational control of the client's processes;
- e) internal auditing and management review;
- f) management responsibility for the client's policies;
- g) links between the normative requirements, policy, performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document), any applicable statutory and regulatory requirements, responsibilities, competence of personnel, operations, procedures, performance data and internal audit findings and conclusions.

9.2.1.3 Initial certification audit conclusions

The audit team shall analyse all information and audit evidence gathered during the stage 1 and stage 2 to review the audit findings and agree on the audit conclusions.

9.3 Planning Audits

9.3.1 Determining audit objectives, scope and criteria

9.3.1.1 The audit objectives shall be determined by the certification body. The audit scope and criteria, including any changes, shall be established by the certification body after discussion with the client.

9.3.1.2 The audit objectives shall describe what is to be accomplished by the audit and shall include the following:

- a) determination of the conformity of the client's management system, or parts of it, with audit criteria;
- b) evaluation of the ability of the management system to ensure the client organization meets applicable statutory, regulatory and contractual requirements;

NOTE A management system certification audit is not a legal compliance audit.

- 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 for potential improvement of the management system.

ICS 03.120.20

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9.3.1.3 The audit scope shall describe the extent and boundaries of the audit, such as physical locations, organizational units, activities and processes to be audited. Where the initial or re-certification process consists of more than one audit (e.g. covering different locations), the scope of an individual audit may not cover the full certification scope, but the totality of audits shall be consistent with the scope in the certification document.

9.3.1.4 The audit criteria shall be used as a reference against which conformity is determined, and shall include:

- the requirements of a defined normative document on management systems;
- the defined processes and documentation of the management system developed by the client.

9.3.2 Audit team selection and assignments

9.3.2.1 The certification body shall have a process for selecting and appointing the audit team, including the audit team leader, taking into account the competence needed to achieve the objectives of the audit and requirements for impartiality. If there is only one auditor, the auditor shall have the competence to perform the duties of an audit team leader applicable for that audit.

9.3.2.2 In deciding the size and composition of the audit team, consideration shall be given to the following:

- 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;
- f) whether the members of the audit team have previously audited the client's management system.

9.3.2.3 The necessary knowledge and skills of the audit team leader and auditors may be supplemented by technical experts, translators and interpreters who shall operate under the direction of an auditor. Where translators or interpreters are used, they are to be selected such that they do not unduly influence the audit.

NOTE The criteria for the selection of technical experts are determined on a case-by-case basis by the needs of the audit team and the scope of the audit.

9.3.2.4 Auditors-in-training may be included in the audit team as participants, provided an auditor is appointed as an evaluator. The evaluator shall be competent to take over the duties and have final responsibility for the activities and findings of the auditor-in-training.

9.3.2.5 The audit team leader, in consultation with the audit team, shall assign to each team member responsibility for auditing specific processes, functions, sites, areas or activities. Such assignments shall take into account the need for competence, and the effective and efficient use of the audit team, as well as different roles and responsibilities of auditors, auditors-in-training and technical experts. Changes to the work assignments may be made as the audit progresses to ensure achievement of the audit objectives.

9.3.2.6 Observers, technical experts and guides

9.3.2.6.1 Observers

The presence and justification of observers during an audit activity shall be agreed to by the certification body and client prior to the conduct of the audit. The audit team shall ensure that observers do not unduly influence or interfere in the audit process or outcome of the audit.

NOTE Observers can be members of the client's organization, consultants, witnessing accreditation body personnel, regulators or other justified persons.

9.3.2.6.2 Technical Experts

The role of technical experts during an audit activity shall be agreed to by the certification body and client prior to the conduct of the audit. The technical experts shall be accompanied by an auditor and, thus, does not count towards audit mandays in the programme.

9.3.2.6.3 Guides

Each auditor shall be accompanied by a guide, unless otherwise agreed to by the audit team leader and the client. Guide(s) are assigned to the audit team to facilitate the audit. The audit team shall ensure that guides do not influence or interfere in the audit process or outcome of the audit.

NOTE The responsibilities of a guide can include:

- a) establishing contacts and timing for interviews;
- b) arranging visits to specific parts of the site or organization;
- c) ensuring that rules concerning site safety and security procedures are known and respected by the audit team members;
- d) witnessing the audit on behalf of the client;
- e) providing clarification or information as requested by an auditor.

9.3.3 Audit plan

9.3.3.1 General

The certification body shall ensure that an audit plan is established prior to for each audit identified in the audit programme to provide the basis for agreement regarding the conduct and scheduling of the audit activities.

NOTE it is not expected that a certification body will develop an audit plan for each audit at the time that the audit programme is developed.

9.3.3.2 Preparing the audit plan

9.3.3.2.1 The audit plan shall be appropriate to the objectives and the scope of the audit. The audit plan shall at least include or refer to the following:

- a) the audit objectives;
- b) the audit criteria;
- c) the audit scope, including identification of the organizational and functional units or processes to be audited;
- d) the dates and sites where the on-site audit activities are to be conducted, including visits to temporary sites, where appropriate;
- e) the expected time and duration of on-site audit activities;
- f) the roles and responsibilities of the audit team members and accompanying persons.

ICS 03.120.20

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NOTE The audit plan information can be contained in more than one document.

9.3.3.2.2 The client shall be informed of any "on site" activities during stage 1.

NOTE The stage 1 planning need not meet the requirements of an audit plan

9.3.3.3 Communication of audit team tasks

The tasks given to the audit team shall be defined and shall be made known to the client organization, and shall require the audit team to

- a) examine and verify the structure, policies, processes, procedures, records and related documents of the client organization relevant to the management system standard,
- b) determine that these meet all the requirements relevant to the intended scope of certification,
- c) determine that the processes and procedures are established, implemented and maintained effectively, to provide a basis for confidence in the client's management system, and
- d) communicate to the client, for its action, any inconsistencies between the client's policy, objectives and targets.

9.3.3.4 Communication of audit plan

The audit plan shall be communicated and the dates of the audit shall be agreed upon, in advance, with the client.

9.3.3.5 Communication concerning audit team members

The certification body shall provide the name of and, when requested, make available background information on each member of the audit team, with sufficient time for the client organization to object to the appointment of any particular audit team member and for the certification body to reconstitute the team in response to any valid objection.

9.4 Conducting Audits

9.4.1 General

The certification body shall have a process for conducting on-site audits. This process shall include an opening meeting at the start of the audit and a closing meeting at the conclusion of the audit.

"On-site" audit can include remote access to electronic site(s) that contain(s) information that is relevant to the audit of the management system. Consideration can also be given to the use of electronic means for conducting audits.

Where any part of the audit is made by electronic means or where the location to be audited is virtual, the certification body shall ensure that such activities are conducted by personnel with appropriate competence. The evidence obtained during such an audit shall be sufficient to enable the auditor to take an informed decision on the conformity of the requirement in question.

9.4.2 Conducting the opening meeting

A formal opening meeting, where attendance shall be recorded, shall be held with the client's management and, where appropriate, those responsible for the functions or processes to be audited. The purpose of the opening meeting, which shall usually be conducted by the audit team leader, is to provide a short explanation of how the audit activities will be undertaken and shall include the following elements. The degree of detail shall be consistent with the familiarity of the client with the audit process:

- a) introduction of the participants, including an outline of their roles;
- b) confirmation of the scope of certification;
- c) confirmation of the audit plan (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 the 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 the 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 certification body 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;
- p) opportunity for the client to ask questions.

9.4.3 Communication during the audit

9.4.3.1 During the audit, the audit team shall periodically assess audit progress and exchange information. The audit team leader shall reassign work as needed between the audit team members and periodically communicate the progress of the audit and any concerns to the client.

9.4.3.2 Where the available audit evidence indicates that the audit objectives are unattainable or suggests the presence of an immediate and significant risk (e.g. safety), the audit team leader shall report this to the client and, if possible, to the certification body to determine appropriate action. Such action may include reconfirmation or modification of the audit plan, changes to the audit objectives or audit scope, or termination of the audit. The audit team leader shall report the outcome of the action taken to the certification body.

9.4.3.3 The audit team leader shall 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 certification body.

9.4.4 Collecting and verifying information

9.4.4.1 During the audit, information relevant to the audit objectives, scope and criteria (including information relating to interfaces between functions, activities and processes) shall be collected by appropriate sampling and verified to become audit evidence.

9.4.4.2 Methods to collect information shall include, but are not limited to:

- a) interviews;
- b) observation of processes and activities;
- c) review of documentation and records.

9.4.5 Identifying and recording audit findings

9.4.5.1 Audit findings shall be recorded and reported (see 9.1.10) to enable an informed certification decision to be made or the certification to be maintained.

9.4.5.2 Opportunities for improvement may be identified and recorded, unless prohibited by the requirements of a management system certification scheme. Audit findings, however, which are nonconformities shall not be recorded as opportunities for improvement.

9.4.5.3 A finding of nonconformity shall be recorded against a specific requirement of the audit criteria, contain a clear statement of the nonconformity and identify in detail the objective evidence on which the nonconformity is based. Nonconformities shall be discussed with the client to ensure that the evidence is accurate and that the nonconformities are understood. The auditor however shall refrain from suggesting the cause of nonconformities or their solution.

9.4.5.4 The audit team leader shall attempt to resolve any diverging opinions between the audit team and the client concerning audit evidence or findings, and unresolved points shall be recorded.

9.4.6 Preparing audit conclusions

Prior to the closing meeting, the audit team shall:

- a) review the audit findings, and any other appropriate information collected during the audit, against the audit objectives;
- b) agree upon the audit conclusions, taking into account the uncertainty inherent in the audit process;
- c) identify any necessary follow-up actions;
- d) confirm the appropriateness of the audit programme or identify any modification required (e.g. scope, audit time or dates, surveillance frequency, competence).

9.4.7 Conducting the closing meeting

9.4.7.1 A formal closing meeting, where attendance shall be recorded, shall be held with the client's management and, where appropriate, those responsible for the functions or processes audited. The purpose of the closing meeting, which shall normally be conducted by the audit team leader, is to present the audit conclusions, including the recommendation regarding certification. Any nonconformities shall be presented in such a manner that they are understood, and the timeframe for responding shall be agreed.

NOTE "Understood" does not necessarily mean that the nonconformities have been accepted by the client.

9.4.7.2 The closing meeting shall also include the following elements. The degree of detail shall be consistent with the familiarity of the client with the audit process:

- a) advising the client that the audit evidence collected was based on a sample of the information; thereby introducing an element of uncertainty;
- b) the method and timeframe of reporting, including any grading of audit findings;

- c) the certification body's process for handling nonconformities including any consequences relating to the status of the client's certification;
- d) the timeframe for the client to present a plan for correction and corrective action for any nonconformities identified during the audit;
- e) the certification body's post audit activities;
- f) information about the complaint handling and appeal processes.

9.4.7.3 The client shall be given opportunity for questions. Any diverging opinions regarding the audit findings or conclusions between the audit team and the client shall be discussed and resolved where possible. Any diverging opinions that are not resolved shall be recorded and referred to the certification body.

9.4.8 Audit report

9.4.8.1 The certification body shall provide a written report for each audit. The audit team may identify opportunities for improvement but shall not recommend specific solutions. Ownership of the audit report shall be maintained by the certification body.

9.4.8.2 The audit team leader shall ensure that the audit report is prepared and shall be responsible for its content. The audit report shall provide an accurate, concise and clear record of the audit to enable an informed certification decision to be made and shall include or refer to the following:

- a) identification of the certification body;
- b) the name and address of the client and the client's management representative;
- c) the type of audit (e.g. initial, surveillance or recertification audit or special audits);
- d) the audit criteria;
- e) the audit objectives;
- f) the 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 including adverse conditions encountered;
- h) any significant issues impacting on the audit programme;
- i) identification of the audit team leader, audit team members and any accompanying persons;
- j) the dates and places where the audit activities (on site or offsite, permanent or temporary sites) were conducted;
- k) audit findings (see 9.1.9.6), evidence and conclusions, consistent with the requirements of the type of audit;
- l) significant changes, if any, that affect the management system of the client organization since the last audit took place
- m) any unresolved issues, if identified;
- n) where applicable, whether it is a joint, combined, or integrated audit

- o) a disclaimer statement indicating that auditing is based on a sampling process of the available information. The disclaimer should also advise that audit recommendations are subject to an independent review prior to a decision concerning the awarding or renewal of certification
- p) the audited organization is effectively controlling the use of the certification documents and marks if applicable
- q) the treatment of previously raised audit findings if applicable

9.4.8.3 The report shall also contain a statement on the conformity and the effectiveness of the management system together with a summary of the evidence relating to:

- a) the appropriateness of the certification scope;
- b) the capability of the management system to meet applicable requirements and expected outcomes;
- c) internal audit and management review process;

9.4.9 Cause analysis of nonconformities

The certification body shall require the client to analyse the cause and describe the specific correction and corrective actions taken, or planned to be taken, to eliminate detected nonconformities, within a defined time.

9.4.10 Effectiveness of corrections and corrective actions

The certification body shall review the corrections, identified causes and corrective actions submitted by the client to determine if these are acceptable. The certification body shall verify the effectiveness of any correction and corrective actions taken. The evidence obtained to support the resolution of nonconformities shall be recorded. The client shall be informed of the result of the review and verification.

NOTE Verification of effectiveness of correction and corrective action can be carried out based on a review of documentation provided by the client, or where necessary, through verification on-site. Normally this activity is done by a member of the audit team

9.4.11 Additional audits

The client shall be informed if an additional full audit, an additional limited audit, or documented evidence (to be confirmed during future audits) will be needed to verify effective correction and corrective actions.

9.5 Certification Decision

9.5.1 General

9.5.1.1 The certification body shall ensure that the persons or committees that make the decisions for granting certification, expanding or reducing the scope of certification, suspending or renewing or restoring certification, withdrawing certification or renewing certification are different from those who carried out the audits. The individual(s) appointed to conduct the certification decision shall have appropriate competence

9.5.1.2 The person(s) [excluding members of committees (see 6.1.3)] assigned by the certification body to make a certification decision shall be employed by, or shall be under legally enforceable arrangement with, one of the following:

- a) the certification body (see 7.2);
- b) an entity under the organizational control of the certification body (see 9.1.14.3).

9.5.1.3 A certification body's organizational control shall be one of the following:

- a) whole or majority ownership of another entity by the certification body;
- b) majority participation by the certification body on the board of directors of another entity;
- c) 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.

NOTE For governmental certification bodies, other parts of the same government can be considered to be “linked by ownership” to the certification body.

9.5.1.4 The persons employed by, or under contract with, entities under organizational control shall fulfil the same requirements of this International Standard as persons employed by, or under contract with, the certification body.

9.5.1.5 The certification body shall make the certification decision on the basis of an evaluation of the audit findings and conclusions and any other relevant information (e.g. public information, comments on the audit report from the client).

9.5.2 Actions prior to making a decision

9.5.2.1 General

The certification body shall confirm, prior to making a decision for granting certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification, that

- a) the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification;
- b) it has reviewed, accepted and verified the effectiveness of correction and corrective actions, for all major nonconformities
- c) it has reviewed and accepted the client's plan for correction and corrective action for any minor nonconformities.

9.5.2.2 Information for granting initial certification

9.5.2.2.1 The information provided by the audit team to the certification body for the certification decision shall include, as a minimum,

- a) the audit reports,
- b) comments on the nonconformities and, where applicable, the correction and corrective actions taken by the client,
- c) confirmation of the information provided to the certification body used in the application review (see 9.2.2),
- d) Confirmation that the audit objectives have been achieved, and
- e) a recommendation whether or not to grant certification, together with any conditions or observations.

9.5.2.2.2 If the certification body is not able to verify the implementation of corrections and corrective actions of any major non conformity within 6 months after the last day of stage 2 , the certification body shall conduct another stage 2 prior to recommend certification

9.5.2.3 Information for granting recertification

The certification body shall make decisions on renewing certification based on the results of the recertification audit, as well as the results of the review of the system over the period of certification and complaints received from users of certification.

9.6 Maintaining Certification

9.6.1 Maintaining certification - General

The certification body shall maintain certification based on demonstration that the client continues to satisfy the requirements of the management system standard. It may maintain a client's certification based on a positive conclusion by the audit team leader without further independent review and decision, provided

- a) for any major nonconformity or other situation that may lead to suspension or withdrawal of certification, the certification body has a system that requires the audit team leader to report to the certification body 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 certification body monitor its surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity is operating effectively.

9.6.2 Surveillance activities

9.6.2.1 General

9.6.2.1.1 The certification body shall develop its surveillance activities so that representative areas and functions covered by the scope of the management system are monitored on a regular basis, and take into account changes to its certified client and its management system.

9.6.2.1.2 Surveillance activities shall include on-site audits assessing the certified client's management system's fulfilment of specified requirements with respect to the standard to which the certification is granted. Other surveillance activities may include

- a) enquiries from the certification body to the certified client on aspects of certification,
- b) reviewing any client's statements with respect to its operations (e.g. promotional material, website),
- c) requests to the client to provide documents and records (on paper or electronic media), and
- d) other means of monitoring the certified client's performance.

9.6.2.2 Surveillance audit

9.6.2.2.1 Surveillance audits are on-site audits, but are not necessarily full system audits, and shall be planned together with the other surveillance activities so that the certification body can maintain confidence that the certified management system continues to fulfil requirements between recertification audits. Each surveillance for the relevant management system standard shall include:

- a) internal audits and management review,
- b) a review of actions taken on nonconformities identified during the previous audit,
- c) complaints handling,
- d) effectiveness of the management system with regard to achieving the certified client's objectives,

- e) progress of planned activities aimed at continual improvement,
- f) continuing operational control,
- g) review of any changes, and
- h) use of marks and/or any other reference to certification.

9.6.3 Recertification

9.6.3.1 Recertification audit planning

9.6.3.1.1 A recertification audit shall be planned and conducted to evaluate the continued fulfilment of all of the requirements of the relevant management system standard or other normative document. The purpose of the recertification audit is to confirm the continued conformity and effectiveness of the management system as a whole, and its continued relevance and applicability for the scope of certification.

9.6.3.1.2 The recertification audit shall consider the performance of the management system over the period of certification, and include the review of previous surveillance audit reports.

9.6.3.1.3 Recertification audit activities may need to have a stage 1 in situations where there have been significant changes to the management system, the organization, or the context in which the management system is operating (e.g. changes to legislation).

NOTE Such changes may occur at any time during the Certification cycle and the Certification body may need to perform a special audit (see 9.5), which may or may not be a two-Stage audit.

9.6.3.1.4 If the certification body has not completed the recertification audit or the certification body is unable to verify corrections and corrective actions for any major non conformity prior to the expiry date of the certification, then recertification shall not be recommended and the validity of the certification shall not be extended.

9.6.3.1.5 Following expiration of certification, the certification body can issue new certification within 6 months provided that the outstanding recertification activity are completed otherwise, a stage 2 shall be conducted.

9.6.3.2 Recertification audit

9.6.3.2.1 The recertification audit shall include an on-site audit that addresses the following:

- a) the effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification;
- b) demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance;
- c) whether the operation of the certified management system contributes to the achievement of the organization's policy and objectives.

9.6.3.2.2 For any major nonconformity, the certification body shall define time limits for correction and corrective actions to be implemented prior to the expiration of certification.

9.6.4 Special audits

9.6.4.1 Change to scope

The certification body shall, in response to an application for extension to the scope of a certification already granted, undertake a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted. This may be conducted in conjunction with a surveillance audit.

9.6.4.2 Short-notice audits

It may be necessary for the certification body to conduct audits of certified clients at short notice to investigate complaints (see 9.8), or in response to changes (see 8.6.3), or as follow up on suspended clients (see 9.6). In such cases

- a) the certification body shall describe and make known in advance to the certified clients (e.g. in documents as described in 8.6.1) the conditions under which these short notice visits are to be conducted, and
- b) the certification body shall exercise additional care in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members.

9.6.5 Suspending, withdrawing or reducing the scope of certification

9.6.5.1 The certification body shall have a policy and documented procedure(s) for suspension, withdrawal or reduction of the scope of certification, and shall specify the subsequent actions by the certification body.

9.6.5.2 The certification body shall suspend certification in cases when, for example,

- the client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system,
- the certified client does not allow surveillance or recertification audits to be conducted at the required frequencies, or
- the certified client has voluntarily requested a suspension.

9.6.5.3 Under suspension, the client's management system certification is temporarily invalid. The certification body shall have enforceable arrangements with its clients to ensure that in case of suspension the client refrains from further promotion of its certification.

9.6.5.4 Failure to resolve the issues that have resulted in the suspension in a time established by the certification body shall result in withdrawal or reduction of the scope of certification.

NOTE In most cases the suspension would not exceed 6 months.

9.6.5.5 The certification body shall reduce the client's scope of certification to exclude the parts not meeting the requirements, when the client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification. Any such reduction shall be in line with the requirements of the standard used for certification.

9.6.5.6 The certification body shall have enforceable arrangements with the certified client concerning conditions of withdrawal [see 8.4.3.d)] ensuring upon notice of withdrawal of certification that the client discontinues its use of all advertising matter that contains any reference to a certified status.

9.6.5.7 Upon request by any party, the certification body shall correctly state the status of certification of a client's management system as being suspended, withdrawn or reduced (see 8.1.2).

9.6.6 Appeals

9.6.6.1 The certification body shall have a documented process to receive, evaluate and make decisions on appeals.

9.6.6.2 A description of the appeals-handling process shall be available without request.

9.6.6.3 The certification body shall be responsible for all decisions at all levels of the appeals-handling process. The certification body shall ensure that the persons engaged in the appeals-handling process are different from those who carried out the audits and made the certification decisions.

9.6.6.4 Submission, investigation and decision on appeals shall not result in any discriminatory actions against the appellant.

9.6.6.5 The appeals-handling process shall include at least the following elements and methods:

- a) an outline of the process for receiving, validating and investigating the appeal, and for deciding what actions are to be taken in response to it, taking into account the results of previous similar appeals;
- b) tracking and recording appeals, including actions undertaken to resolve them;
- c) ensuring that any appropriate correction and corrective action are taken.

9.6.6.6 The certification body receiving the appeal shall be responsible for gathering and verifying all necessary information to validate the appeal.

9.6.6.7 The certification body shall acknowledge receipt of the appeal and shall provide the appellant with progress reports and the outcome.

9.6.6.8 The decision to be communicated to the appellant shall be made by, or reviewed and approved by, individual(s) not previously involved in the subject of the appeal.

9.6.6.9 The certification body shall give formal notice to the appellant of the end of the appeals-handling process.

9.6.7 Complaints

9.6.7.1 A description of the complaints-handling process shall be available without request.

9.6.7.2 The certification body shall be responsible for all decisions at all levels of the complaints-handling process.

9.6.7.3 Submission, investigation and decision on complaints shall not result in any discriminatory actions against the complainant.

9.6.7.4 Upon receipt of a complaint, the certification body shall confirm whether the complaint relates to certification activities that it is responsible for and, if so, shall deal with it. If the complaint relates to a certified client, then examination of the complaint shall consider the effectiveness of the certified management system.

9.6.7.5 Any complaint about a certified client shall also be referred by the certification body to the certified client in question at an appropriate time.

9.6.7.6 The certification body shall have a documented process to receive, evaluate and make decisions on complaints. This process shall be subject to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint.

ICS 03.120.20

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9.6.7.7 The complaints-handling process shall include at least the following elements and methods:

- a) an outline of the process for receiving, validating, investigating the complaint, and for deciding what actions are to be taken in response to it;
- b) tracking and recording complaints, including actions undertaken in response to them;
- c) ensuring that any appropriate correction and corrective action are taken.

NOTE ISO 10002 provides guidance for complaints handling.

9.6.7.8 The certification body receiving the complaint shall be responsible for gathering and verifying all necessary information to validate the complaint.

9.6.7.9 Whenever possible, the certification body shall acknowledge receipt of the complaint, and shall provide the complainant with progress reports and the outcome.

9.6.7.10 The decision to be communicated to the complainant shall be made by, or reviewed and approved by, individual(s) not previously involved in the subject of the complaint.

9.6.7.11 Whenever possible, the certification body shall give formal notice of the end of the complaints-handling process to the complainant.

9.6.7.12 The certification body shall determine, together with the client and the complainant, whether and, if so to what extent, the subject of the complaint and its resolution shall be made public.

9.6.8 Client records

9.6.8.1 The certification body shall maintain records on the audit and other certification activities for all clients, including all organizations that submitted applications, and all organizations audited, certified, or with certification suspended or withdrawn.

9.6.8.2 Records on certified clients shall include the following:

- a) application information and initial, surveillance and recertification audit reports;
- b) certification agreement;
- c) justification of the methodology used for sampling;
- d) justification for auditor time determination (see 9.1.4);
- e) verification of correction and corrective actions;
- f) records of complaints and appeals, and any subsequent correction or corrective actions;
- g) committee deliberations and decisions, if applicable;
- h) documentation of the certification decisions;
- i) certification documents, including the scope of certification with respect to product, process or service, as applicable;
- j) related records necessary to establish the credibility of the certification, such as evidence of the competence of auditors and technical experts.
- k) Audit programmes

NOTE Methodology of sampling includes the sampling employed to assess the specific management system and/or to select sites in the context of multi-site assessment.

9.6.8.3 The certification body shall keep the records on applicants and clients secure to ensure that the information is kept confidential. Records shall be transported, transmitted or transferred in a way that ensures that confidentiality is maintained.

9.6.8.4 The certification body shall have a documented policy and documented procedures on the retention of records. Records shall be retained for the duration of the current cycle plus one full certification cycle.

NOTE In some jurisdictions, the law stipulates that records need to be maintained for a longer time period.

10 Management system requirements for certification bodies

10.1 Options

The certification body shall establish, document, implement and maintain a management system that is capable of supporting and demonstrating the consistent achievement of the requirements of this International Standard. In addition to meeting the requirements of Clauses 5 to 9, the certification body shall implement a management system in accordance with either:

- a) general management system requirements (see 10.2).
- b) management system requirements in accordance with ISO 9001 (see 10.3), or

10.2 Option A: General management system requirements

10.2.1 General

The certification body shall establish, document, implement and maintain a management system that is capable of supporting and demonstrating the consistent achievement of the requirements of this International Standard.

The certification body's top management shall establish and document policies and objectives for its activities. The top management shall provide evidence of its commitment to the development and implementation of the management system in accordance with the requirements of this International Standard. The top management shall ensure that the policies are understood, implemented and maintained at all levels of the certification body's organization.

The certification body's top management shall appoint a member of management who, irrespective of other responsibilities, shall have responsibility and authority that include

- a) ensuring that processes and procedures needed for the management system are established, implemented and maintained, and
- b) reporting to top management on the performance of the management system and any need for improvement.

10.2.2 Management system manual

All applicable requirements of this International Standard shall be addressed either in a manual or in associated documents. The certification body shall ensure that the manual and relevant associated documents are accessible to all relevant personnel.

10.2.3 Control of documents

The certification body shall establish procedures to control the documents (internal and external) that relate to the fulfilment of this International Standard. The procedures shall define the controls needed to

- a) approve documents for adequacy prior to issue,
- b) review and update where 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, and
- g) prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.

NOTE Documentation can be in any form or type of medium.

10.2.4 Control of records

The certification body shall establish procedures to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of its records related to the fulfilment of this International Standard.

The certification body shall establish procedures for retaining records for a period consistent with its contractual and legal obligations. Access to these records shall be consistent with the confidentiality arrangements.

NOTE For requirements for records on certified clients, see also 9.9.

10.2.5 Management review

10.2.5.1 General

The certification body's top management shall establish procedures to review its management system at planned intervals to ensure its continuing suitability, adequacy and effectiveness, including the stated policies and objectives related to the fulfilment of this International Standard. These reviews shall be conducted at least once a year.

10.2.5.2 Review inputs

The input to the management review shall include information related to:

- a) results of internal and external audits,
- b) feedback from clients and interested parties related to the fulfilment of this International Standard,
- c) safeguarding impartiality,
- d) the status of preventive and corrective actions,
- e) follow-up actions from previous management reviews,
- f) the fulfilment of objectives,

- g) changes that could affect the management system, and
- h) appeals and complaints.

10.2.5.3 Review outputs

The outputs from the management review shall include decisions and actions related to

- a) improvement of the effectiveness of the management system and its processes,
- b) improvement of the certification services related to the fulfilment of this International Standard, and
- c) resource needs.

10.2.6 Internal audits

10.2.6.1 The certification body shall establish procedures for internal audits to verify that it fulfils the requirements of this International Standard and that the management system is effectively implemented and maintained.

NOTE ISO 19011 provides guidelines for conducting internal audits.

10.2.6.2 An audit programme shall be planned, taking into consideration the importance of the processes and areas to be audited, as well as the results of previous audits.

10.2.6.3 Internal audits shall be performed at least once every 12 months. The frequency of internal audits may be reduced if the certification body can demonstrate that its management system continues to be effectively implemented according to this International Standard and has proven stability.

10.2.6.4 The certification body shall ensure that

- a) internal audits are conducted by qualified 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, and
- e) any opportunities for improvement are identified.

10.2.7 Corrective actions

The certification body shall establish procedures for identification and management of nonconformities in its operations. The certification body shall also, where necessary, take actions to eliminate the causes of nonconformities in order to prevent recurrence. Corrective actions shall be appropriate to the impact of the problems encountered. The procedures shall define requirements for

- 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 in a timely manner, the actions needed,
- f) recording the results of actions taken, and
- g) reviewing the effectiveness of corrective actions.

10.3 Option B: Management system requirements in accordance with ISO 9001

10.3.1 General

The certification body shall establish and maintain a management system, in accordance with the requirements of ISO 9001, that is capable of supporting and demonstrating the consistent achievement of the requirements of this International Standard, amplified by 10.3.2 to 10.3.4.

10.3.2 Scope

For application of the requirements of ISO 9001, the scope of the management system shall include the design and development requirements for its certification services.

10.3.3 Customer focus

For application of the requirements of ISO 9001, when developing its management system, the certification body shall consider the credibility of certification and shall address the needs of all parties (as set out in 4.1.2) that rely upon its audit and certification services, not just its clients.

10.3.4 Management review

For application of the requirements of ISO 9001, the certification body shall include as input for management review, information on relevant appeals and complaints from users of certification activities and a review of impartiality.

Annex A (normative)

Required knowledge and skills

The following table specifies the knowledge and skills that a certification body shall define for specific certification functions. The knowledge and skill is elaborated in text following the table and is referenced by the number in parenthesis

Table A.1 — Table of knowledge and skills

Certification functions Knowledge and skills	Conducting the application review to determine audit team competence required, to select the audit team members, and to determine the audit time	Reviewing audit reports and making certification decisions	Auditing	Leading the audit team
Knowledge of business management practices			X (A.2.1)	X (A.2.1)
Knowledge of audit principles, practices and techniques		X (A.3.1)	X (A.2.2)	X (A.2.2)
Knowledge of specific management system standards/normative documents	X (A.4.1)	X (A.3.2)	X (A.2.3)	X (A.2.3)
Knowledge of certification body's processes	X (A.4.2)	X (A.3.3)	X (A.2.4)	X (A.2.4)
Knowledge of client's business	X (A.4.3)	X(A.3.4)	X (A.2.5)	X (A.2.5)
Knowledge of client products, processes and organization	X (A.4.4)		X (A.2.6)	X (A.2.6)
Language skills appropriate to all levels within the client organization			X (A.2.7)	X (A.2.7)
Note-taking and report-writing skills			X (A.2.8)	X (A.2.8)
Presentation skills			X (A.2.9)	X (A.2.9)
Interviewing skills			X (A.2.10)	X (A.2.10)
Audit-management skills			X (A.2.11)	X (A.2.11)
<p>The team leader of a combined or integrated audit should have an in-depth knowledge of at least one of the standards and is required to have awareness of the other standards used for that particular audit.</p> <p>NOTE Risk and complexity are other considerations when deciding the level of expertise needed for any of these functions.</p>				

A.2 Competence requirements for management systems auditors

ICS 03.120.20

Price based on 44 pages

A.2.1 Knowledge of business management practices

Knowledge of general organization types, size, governance, structure and work place practices, information and data systems, documentation systems, and information technology.

A.2.2 Knowledge of audit principles, practices and techniques

Knowledge of generic management systems audit principles, practices and techniques, as specified in this standard sufficient to conduct certification audits and to evaluate internal audit processes.

A.2.3 Knowledge of specific management system standards/normative documents

Knowledge of the management system standard or other normative documents being specified for certification sufficient to determine if it has been effectively implemented and conforms to requirements.

A.2.4 Knowledge of certification body's processes

Knowledge of a certification body's processes sufficient to perform in accordance with the certification body's procedures and processes.

A.2.5 Knowledge of client's business

Knowledge of the terminology, practices and processes common to a client's business sufficient to understand the sector's expectations in the context of the management system standard or other normative document.

Note A business sector is understood to be economic activities (e.g. aerospace, chemical, financial services)

A.2.6 Knowledge of client products, processes and organization

Knowledge related to the types of products or processes of a client sufficient to understand how such an organization can operate, and how the organization can apply the requirements of the management system standard or other relevant normative document.

A.2.7 Language skills appropriate to all levels within the client organization

Capable of communicating effectively to persons at any level of an organization using appropriate terms, expressions and speech.

A.2.8 Note-taking and report-writing skills

Capable of reading and writing with sufficient speed, accuracy and comprehension to record, take notes, and effectively communicate audit findings and conclusions

A.2.9 Presentation skills

Capable of presenting audit findings and conclusions to be easily understood. For the team leader, presenting in a public forum (e.g., closing meeting) audit findings, conclusions, and recommendations appropriate to the audience.

A.2.10 Interviewing skills

Capable of interviewing to obtain relevant information by asking, , open-ended, well formulated questions and listening to understand and evaluate the answers.

A.2.11 Audit-management skills

Capable of conducting and managing an audit to achieve the audit objectives within the agreed timeframe. For the team leader, capable of facilitating meetings for the effective exchange of information and capable of making assignments or re-assignments where necessary.

A.3 Competence requirements for personnel reviewing audit reports and making certification decisions.

The functions of these personnel may be fulfilled by one or more persons.

A.3.1 Knowledge of audit principles, practices and techniques

Knowledge of generic management systems audit principles, practices and techniques, as specified in this standard sufficient to understand a certification audit report.

A.3.2 Knowledge of specific management system standards/normative documents

Knowledge of the management system standard or other normative documents being specified for certification sufficient to make a decision on the basis of a certification audit report.

A.3.3 Knowledge of certification body's processes

Knowledge of a certification body's processes sufficient to determine if expectations have been fulfilled on the basis of the information submitted for review.

A.3.4 Knowledge of client's business

Knowledge of the terminology, practices and processes common to a client's business sufficient understand an audit report in the context of the management system standard or other normative document.

A.4 Competence requirements for personnel conducting the application review to determine audit team competence required, to select the audit team members, and to determine the audit time

The functions of these personnel may be fulfilled by one or more persons

A.4.1 Knowledge of specific management system standards/normative documents

Knowledge of what management system standard or other normative documents is being specified for certification.

A.4.2 Knowledge of certification body's processes

Knowledge of a certification body's processes sufficient to assign competent audit team members and accurately determine audit time.

A.4.3 Knowledge of client's business

Knowledge of the terminology, practices and processes common to a client's business sufficient to assign competent audit team members and accurately determine audit time.

A.4.4 Knowledge of client products, processes and organization

Knowledge related to the types of products or processes of a client sufficient to assign competent audit team members and accurately determine audit time

Annex B (informative)

Possible evaluation methods

IMPORTANT — This annex is informative and not intended to be applied as requirements.

B.1 General

This annex is intended to provide examples of evaluation methods as an aid to certification bodies.

Methods for evaluating individuals' competence can be grouped into five major categories: review of records, feedback, interviews, observations and examinations. These can be further subdivided. The following is a brief description of each method and its usefulness and limitations for evaluating knowledge and skills. It is unlikely that any one method on its own will confirm competence.

The (following) methods in B.2 to B.6 can provide useful information of knowledge and skills; they are more effective when they are designed to be used with specified competence criteria resulting from the competence determination process specified in 7.1.2 and 7.1.3.

This is followed by an example of a process flow for determining and maintaining competence in Annex C.

B.2 Review of records

Some records are indicators of knowledge, such as a résumé or curriculum vitae showing work experience, audit experience, education and training.

Some records are indicators of skills, such as audit reports, records of work experience, audit experience, education and training.

Such records alone are not likely to be sufficient evidence of competence.

Other records are direct evidence of demonstration of competence such as a report of a performance appraisal of an auditor conducting an audit.

B.3 Feedback

Direct feedback from past employers can be an indicator of knowledge and skills, but it is important to note that sometimes employers specifically exclude negative information.

Personal references can be an indicator of knowledge and skills. It is unlikely that a candidate will provide a personal reference that would provide negative information.

Feedback by peers can be an indicator of knowledge and skills. Such feedback can be influenced by the relationship between the peers.

Feedback from clients can be an indicator of knowledge and skills. For an auditor, the feedback can be influenced by the results of the audit.

Feedback alone is not satisfactory evidence of competence.

B.4 Interviews

Interviews can be useful for eliciting information about knowledge and skills.

Employment interviews can be useful for elaborating on information from résumés and past work experience in regard to knowledge and skills.

Interviews as part of performance reviews can provide specific information on knowledge and skills.

An interview of an audit team for a post audit review can provide useful information about an auditor's knowledge and skills. It provides an opportunity to understand why an auditor made specific decisions, selected specific audit trails, etc. This technique may be used after an observed audit and may also be used later when considering the written audit report. This technique may be particularly useful in determining competence relative to a specific technical area.

Direct evidence of demonstration of competence can be achieved by a structured interview with appropriate records against specified competence criteria.

Interviews may be used to assess language, communication and interpersonal skills.

B.5 Observations

Observing a person performing a task can provide direct evidence of competence as demonstrated application of knowledge and skills to achieve a desired result. This method of evaluation is useful for all functions, administrative and management staff as well as for auditors and certification decision-makers. One limitation of observing an auditor conducting an audit is the degree of challenge presented by the specific audit.

Observing a person periodically is useful to confirm continued competence.

B.6 Examinations

Written examinations can provide good and well-documented evidence of knowledge and — depending on methods — also on skills.

Oral examination can provide good evidence of knowledge (depending on the examiner's competence), and limited outcomes about skills.

Practical examinations can provide a balanced outcome on knowledge and skills, depending on the examination process and the examiners' competence. Methods may include e.g. role playing, case studies, stress simulation or on-the-job situations.

Annex C (informative)

Example of a process flow for determining and maintaining competence

IMPORTANT — This annex is informative and not intended to be applied as requirements.

The process flow in this annex shows one way of determining competence for personnel by identifying the specific tasks to be completed; identifying the specific knowledge and skill needed to achieve the intended result. The table uses the methods listed in Annex B.

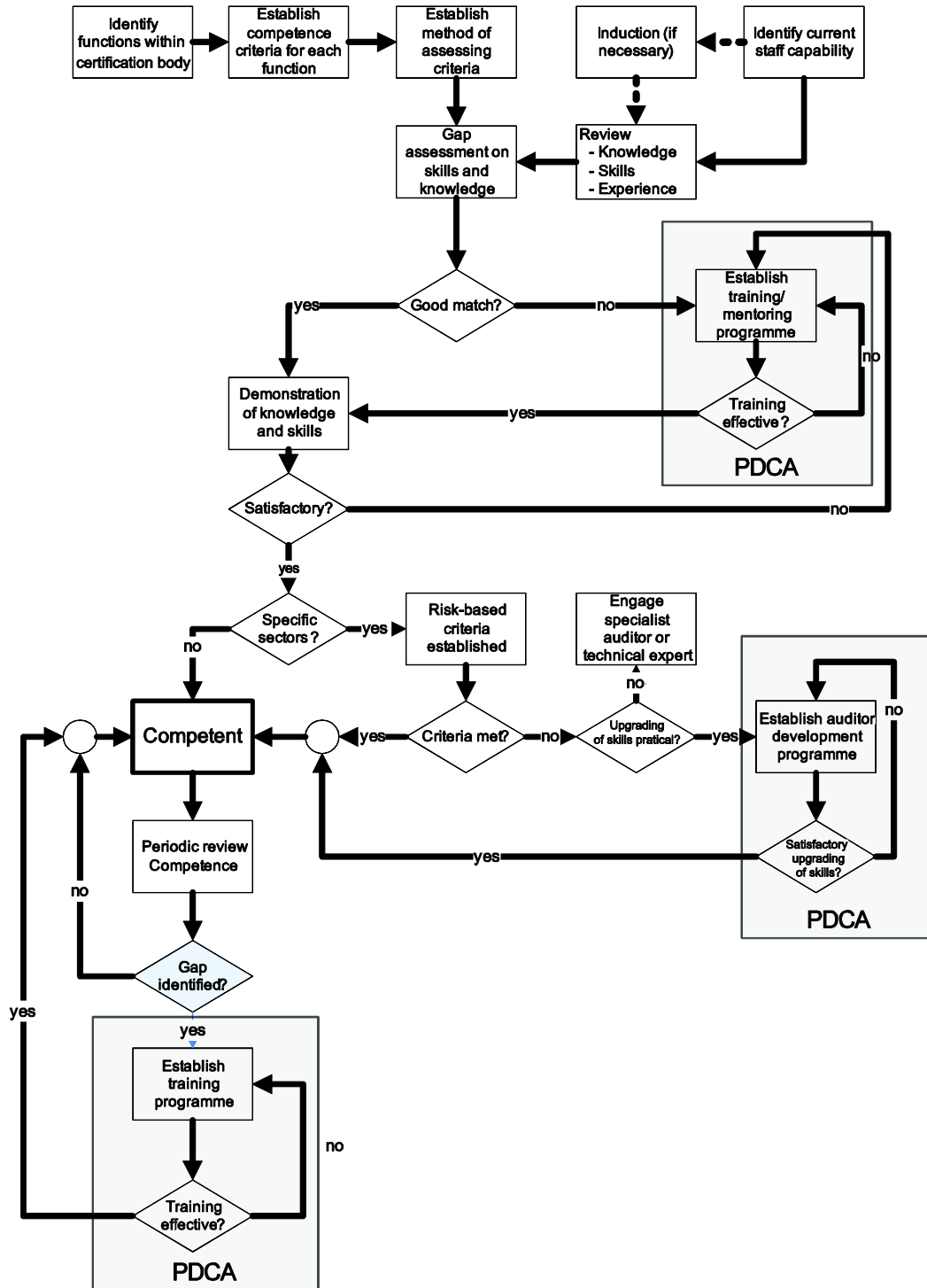


Figure C.1 —Example of a process flow for determining and maintaining competence

Annex D (informative)

Desired personal behaviours

IMPORTANT — This annex is informative and not intended to be applied as requirements.

Examples of personal behaviours that are important for personnel involved in certification activities for any type of management system are described as follows:

- a) ethical, i.e. fair, truthful, sincere, honest and discreet;
- b) open-minded, i.e. willing to consider alternative ideas or points of view;
- c) diplomatic, i.e. tactful in dealing with people;
- d) collaborative, i.e. effectively interacting with others;
- e) observant, i.e. actively aware of physical surroundings and activities;
- f) perceptive, i.e. instinctively aware of and able to understand situations;
- g) versatile, i.e. adjusts readily to different situations;
- h) tenacious, i.e. persistent and focused on achieving objectives;
- i) decisive, i.e. reaches timely conclusions based on logical reasoning and analysis;
- j) self-reliant, i.e. acts and functions independently;
- k) professional, i.e. exhibiting a courteous, conscientious and generally business-like demeanour in the workplace;
- l) morally courageous, i.e. willing to act responsibly and ethically even though these actions may not always be popular and may sometimes result in disagreement or confrontation;
- m) organized, i.e. exhibiting effective time management, prioritization, planning, and efficiency.

Determination of behaviours is situational, and weaknesses may only become apparent in a specific context. The certification body should take appropriate action for any identified weakness that adversely affects the certification activity.

Annex E (informative)

Third-party audit and certification process

IMPORTANT — This annex is informative and not intended to be applied as requirements.

Figure E.1 represents a typical process flow. Other audit activities may be conducted, e.g. document review and special audits. For the difference between the audit cycle and certification cycle see 9.1.1.2 and 9.3.2.2.

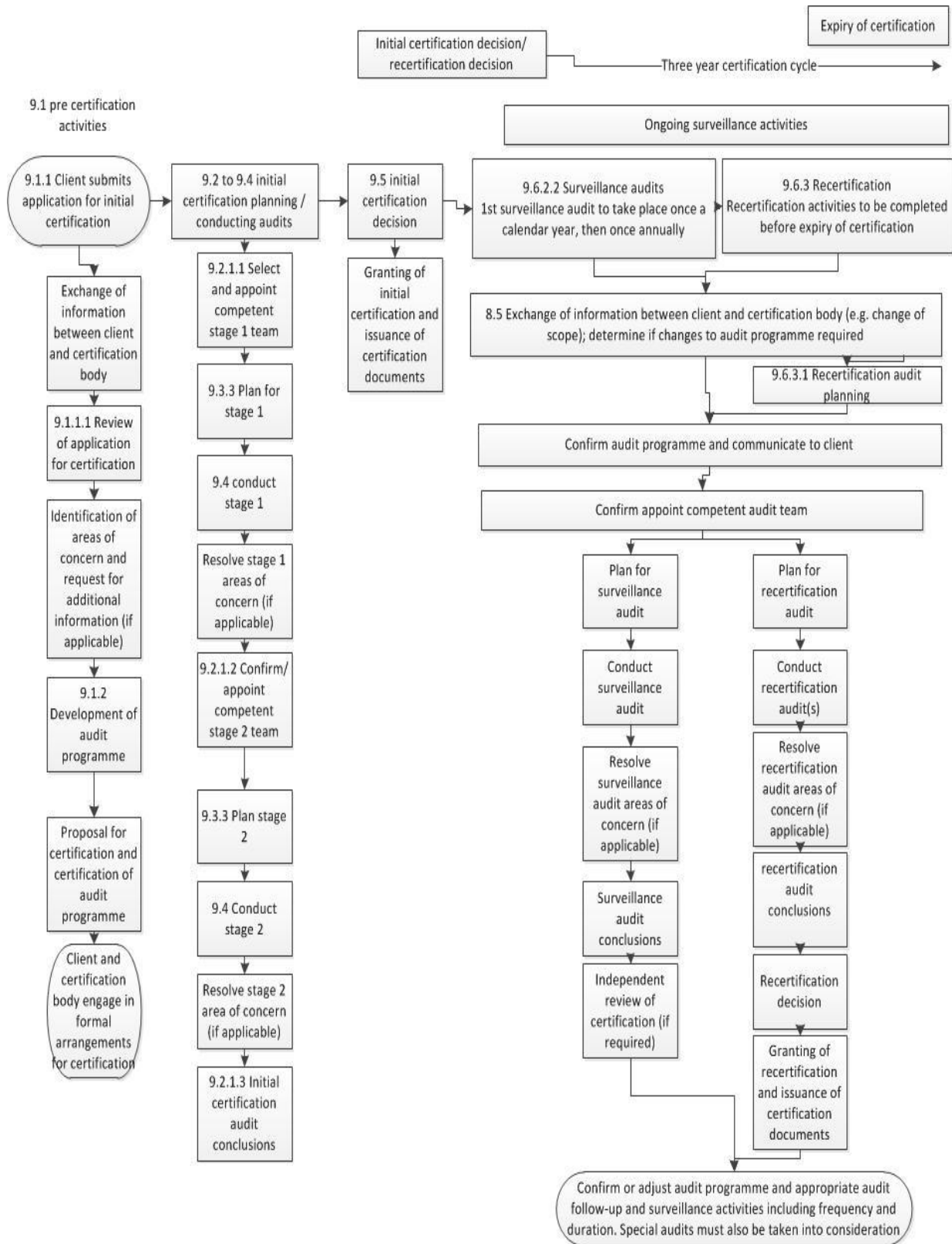


Figure E.1 — Typical process flow for third-party audit and certification process

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