

	Philippine Accreditation Bureau Management System Accreditation Assessment Checklist for ISO 17024: 2012	Document ID	MSA/SF33
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### Conformity assessment – Requirement for bodies operating certification of persons

**Legend:** C – Complies, O – Observation, T – To Address at Audit, N – Nonconformity, N/A – Not Applicable

Clause Requirement
<b>4 General Requirements</b> <b>4.1 Legal matters</b> <i>Is the CB a legal entity, or a defined part of a legal entity, such that it can be held legally responsible for its certification activities?</i>
State the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>4.2 Responsibility for decision on certification</b> <i>Is the CB responsible for, and does it retain authority for and not delegate its decisions relating to certification, including the granting, maintaining, recertifying, expanding and reducing the scope of the certification, and suspending or withdrawing the certification?</i>
State the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>4.3 Management of impartiality</b> <b>4.3.1</b> <i>Does the CB document its structure, policies and procedures to manage impartiality and to ensure that the certification activities are undertaken impartially?</i> <i>Does the CB have top management commitment to impartiality in certification activities?</i> <i>Does the CB have a statement publicly accessible without request that it understands the importance of impartiality in carrying out its certification activities, manages conflict of interest and ensures the objectivity of its certification activities?</i>
State the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>
<b>4.3.2</b> <i>Does the CB act impartially in relation to its applicants, candidates and certified persons?</i>
State the CB's established policies and procedures: <i>(To be filled-up by the CB)</i>
Findings/Comments: <i>(To be filled-up by the AB)</i>



### Clause Requirement

**4.3.3** *Are policies and procedures for certification of persons fair among all applicants, candidates and certified persons?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**4.3.4** *Is certification restricted on the grounds of undue financial or other limiting conditions, such as membership of an association or group? Does the CB use procedures to unfairly impede or inhibit access by applicants and candidates?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**4.3.5** *Is the CB responsible for the impartiality of its certification activities and not allow commercial, financial or other pressures to compromise impartiality?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**4.3.6** *Does the CB identify threats to its impartiality on an ongoing basis, which include those threats that arise from its activities, from its related bodies, from its relationships, or from that of its personnel?  
Do such relationships present a body with a threat to impartiality?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**4.3.7** *Does the CB analyse, document and eliminate or minimize the potential conflict of interests arising from its certification activities?  
Does the CB document and is it able to demonstrate how it eliminates, minimizes or manages such threats?  
Are all potential sources of conflict of interest that are identified, whether they arise from within the CB, such as assigning responsibilities to personnel or from the activities of other persons, bodies or organizations, covered?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*



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### Clause Requirement

Findings/Comments: *(To be filled-up by the AB)*

**4.3.8** *Are certification activities structured and managed so as to safeguard impartiality? Does this include balanced involvement of interested parties (see definition 3.21)?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

#### **4.4 Finance and liability**

*Does the CB have the financial resources necessary for the operation of a certification process and does it have adequate arrangements (e.g. insurance or reserves) to cover associated liabilities?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

### **5 Structural requirements**

#### **5.1 Management and organization structure**

**5.1.1** *Are the CB activities structured and managed so as to safeguard impartiality?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**5.1.2** *Does the CB document its organizational structure, describing the duties, responsibilities and authorities of management, certification personnel and any committee?*

*When the CB is a defined part of a legal entity, does documentation of the organizational structure include the line of authority and the relationship to other parts within the same legal entity?*

*Are the party/parties or individuals responsible for the following identified:*

- a. Policies and procedures relating to the operation of the CB;*
- b. implementation of the policies and procedures;*
- c. Finances of the CB;*
- d. Resource for certification activities;*
- e. development of management system certification schemes;*
- f. Assessment activities;*
- g. decisions on certification, including the granting, maintaining, recertifying, expanding, reducing, suspending or withdrawing of the certification;*
- h. Contractual arrangements;*

State the CB's established policies and procedures: *(To be filled-up by the CB)*



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### Clause Requirement

Findings/Comments: *(To be filled-up by the AB)*

#### **5.2 Structure of the certification body in relation to training**

**5.2.1** *Completion of training may be a specified requirement of a certification scheme (see 8.3). Does the recognition/approval of training by the CB compromise impartiality or reduce the assessment and certification requirements?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**5.2.2** *Does the CB provide information regarding education and training if they are used as pre-requisites for being eligible for certification? Does the CB state or imply that certification would be simpler, easier or less expensive if any specified education/training services are used?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**5.2.3** *Offering training and certification for persons within the same legal entity constitutes a threat to impartiality. Does the CB that is part of a legal entity offering training ensure the following:*

- a. Identify and document the associated threats to its impartiality on an ongoing basis: the body shall have a documented process to demonstrate how it eliminates or minimizes those threats;*
- b. Demonstrate that all processes performed by the CB are independent of training to ensure that confidentiality, information security and impartiality are not compromised;*
- c. Not give the impression that the use of both services would provide any advantage to the applicant;*
- d. Not require the candidates to complete the CB's own education or training as an exclusive prerequisite when alternative education or training with an equivalent outcome exists;*
- e. Ensure that personnel do not serve as examiner of a specific candidate they have trained for a period of two years from the date of the conclusion of the training: this interval may be shortened if the CB demonstrates it does not compromise impartiality.*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

#### **6 Resource requirements**

##### **6.1 General personnel requirements**

**6.1.1** *Does the CB manage and is it responsible for the performance of all personnel involved in the certification process?*



### Clause Requirement

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**6.1.2** Does the CB have sufficient personnel available with the necessary competence to perform certification functions relating to the type, range and volume of work performed?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**6.1.3** Does the CB define the competence requirements for personnel involved in the certification process?  
Does staff have competence for their specific tasks and responsibilities?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**6.1.4** Does the CB provide its personnel with documented instructions describing their duties and responsibilities?  
Are these instructions kept up-to-date?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**6.1.5** Does the CB maintain up-to-date personnel records, including relevant information, e.g. qualifications, trainings, experience, professional affiliations, professional status, competence and known conflicts of interest?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**6.1.6** Does personnel acting on the CB's behalf keep confidential all information obtained or created during the performance of the body's certification activities, except as required by law or where authorized by the applicant, candidate or certified person?

State the CB's established policies and procedures: *(To be filled-up by the CB)*



### Clause Requirement

Findings/Comments: *(To be filled-up by the AB)*

**6.1.7** Does the CB require its personnel to sign a document by which they commit themselves to comply with the rules defined by the CB, including those relating to confidentiality, impartiality and conflict of interests?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**6.1.8** When CB certifies a person it employs, does the CB adopt procedures to maintain impartiality?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

### 6.2 Personnel involved in the certification activities

#### 6.2.1 General

Does the CB require its personnel to declare any potential conflict of interest in any candidate?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

#### 6.2.2 Requirements for examiners

**6.2.2.1** Do examiners meet the requirements of the CB?

Does the selection and approval processes ensure the examiners meet the following:

- Understand the relevant certification scheme;
- Are able to apply the examination procedures and documents;
- Have competence in the field to be examined;
- Are fluent, both in writing and oral, in the language of examination; in circumstances where an interpreter or a translator is used, the CB shall have procedures in place to ensure that it does not affect the validity of the examination;
- Have identified any known conflicts of interest to ensure impartial judgments are made.

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**6.2.2.2** Does the CB monitor the performance of the examiners and the reliability of the examiners' judgments? Where deficiencies are found, are corrective actions taken?



### Clause Requirement

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**6.2.2.3** *If an examiner has a potential conflict of interest in the examination of a candidate, does the CB undertake measures to ensure that the confidentiality and impartiality of the examination are not compromised? Are these measures recorded?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

### **6.2.3 Requirements for other personnel involved in the assessment**

**6.2.3.1** Does the CB have a documented description of the responsibilities and qualifications of other personnel involved in the assessment process (e.g. invigilators)?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**6.2.3.2** *If other personnel involved in the assessment have a potential conflict of interest in the examination of a candidate, does the CB undertake measures to ensure that confidentiality and impartiality of the examinations is not compromised? Are these measures recorded?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

### **6.3 Outsourcing**

**6.3.1** Does the CB have a legally enforceable agreement covering the arrangements, including confidentiality and conflict of interests, with each body that provides outsourced work related to the certification process?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*



### Clause Requirement

**6.3.2** When a CB outsources work related to certification, does the CB ensure the following:

- a. Take full responsibilities for all outsourced work;
- b. Ensure that the body conducting outsourced work is competent and complies with the applicable provisions of the 17024 standard;
- c. Assess and monitor the performance of the bodies conducting outsourced work in accordance with its documented procedures;
- d. Have records to demonstrate that the bodies conducting outsourced work meet all requirements relevant to the outsourced work;
- e. Maintain a list of the bodies conducting outsourced work.

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

### 6.4 Other resources

Does the CB use adequate premises, including examination sites, equipment and resources for carrying out its certification activities?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

## 7 Records and information requirements

### 7.1 Records of applicants, candidates and certified persons

#### 7.1.1 Does the CB maintain records?

Do the records include a means to confirm the status of a certified person?

Do the records demonstrate that the certification or recertification process has been effectively fulfilled, particularly with respect to application forms, assessment reports (which include examination records) and other documents relating to granting, maintaining, recertifying, expanding and reducing the scope, and suspending or withdrawing certification?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**7.1.2** Are the records identified, managed and disposed of in such a way as to ensure the integrity of the process and the confidentiality of the information? Are the records kept for an appropriate period of time, for a minimum of one full certification cycle, or as required by recognition arrangements, contractual, legal or other obligations?

State the CB's established policies and procedures: *(To be filled-up by the CB)*





### Clause Requirement

Findings/Comments: *(To be filled-up by the AB)*

**7.1.3** Does the CB have enforceable arrangements to require that the certified person informs the CB, without delay, of matters that can affect the capability of the certified person to continue to fulfil the certification requirements?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

### 7.2 Public information

**7.2.1** Does the CB verify and provide information, upon request, as to whether an individual holds a current valid certification and the scope of that certification, except where the law requires such information not be disclosed?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**7.2.2** Does the CB make publicly available without request information regarding the scope of the certification scheme and a general description of the certification process?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**7.2.3** Are all pre-requisites of the certification scheme listed and is the list made publicly available without request?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**7.2.4** Is information provided by the CB, including advertising, accurate and not misleading?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*



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### Clause Requirement

#### **7.3 Confidentiality**

**7.3.1** Does the CB establish documented policies and procedures for the maintenance and release of information?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**7.3.2** Does the CB, through legally enforceable agreements, keep confidential all information obtained during the certification process? Do these arrangements cover all personnel?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**7.3.3** Does the CB ensure that information obtained during the certification process, or from sources other than the applicant, candidate or certified person, is not disclosed to an unauthorized party without the written consent of the individual (applicant, candidate or certified person), except where the law requires such information to be disclosed?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**7.3.4** When the CB is required by law to release confidential information, is the person concerned, unless prohibited by law, notified as to what information will be provided?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**7.3.5** Does the CB ensure that the activities of related bodies do not compromise confidentiality?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*



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### Clause Requirement

#### 7.4 Security

**7.4.1** Does the CB develop and document policies and procedures necessary to ensure security throughout the entire certification process, and does it have measures in place to take corrective actions when security breaches occur?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**7.4.2** Do security policies and procedures include provisions to ensure the security of examination materials, taking into account the following:

- a. Locations of the materials (e.g. transportation, electronic delivery, disposal, storage, examination center);
- b. The nature of the materials (electronic, paper, test equipment);
- c. The steps in the examination process (e.g. development, administration, results reporting);
- d. The threats arising from repeated use of examination materials.

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**7.4.3** Does CB prevent fraudulent examination practices by:

- a. Requiring candidates to sign a non-disclosure agreement or other agreement indicating their commitment not to release confidential examination materials or participate in fraudulent test-taking practices;
- b. Requiring an invigilator or examiner to be present;
- c. Confirming the identity of the candidate;
- d. Implementing procedures to prevent any unauthorized aids from being brought into the examination area;
- e. Preventing candidates from gaining access to unauthorized aids during the examination;
- f. Monitoring examination results for indications of cheating

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

#### 8 Certification schemes

**8.1** Is there a certification scheme for each category of certification?

State the CB's established policies and procedures: *(To be filled-up by the CB)*



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### Clause Requirement

Findings/Comments: *(To be filled-up by the AB)*

**8.2 Does a certification scheme contain the following elements:**

- a. Scope of certification;
- b. Job and task description;
- c. Required competence;
- d. Abilities (when applicable);
- e. Code of conduct (when applicable)

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**8.3 Does a certification scheme include the following certification process requirements:**

- a. Criteria for initial certification and recertification;
- b. Assessment methods for initial certification and recertification;
- c. Surveillance methods and criteria (if applicable);
- d. Criteria for suspending and withdrawing certification;

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**8.4 Does the CB have documents to demonstrate that, in the development and review of the certification scheme, the following are included:**

- a. The involvement of appropriate experts;
- b. The use of an appropriate structure that fairly represents the interests of all parties significantly concerned, without any interest predominating;
- c. The identification and alignment of prerequisites, if applicable, with the competence requirement;
- d. The identification and alignment of the assessment mechanisms with the competence requirements;
- e. A job or practice analysis that is conducted and updated to:
  - Identify the tasks for successful performance
  - Identify the required competence for each task;
  - Identify prerequisites (if applicable);
  - Confirm the assessment mechanism and examination content;
  - Identify the recertification requirements and interval

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*



### Clause Requirement

**8.5** Does the CB ensure that the certification scheme is reviewed and validated on an on-going systematic basis?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**8.6** When CB is not the scheme owner of a certification scheme it implements, does the CB ensure that the requirements of Clause 8 are met?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

### 9 Certification process requirements

#### 9.1 Application process

**9.1.1** Upon application, does the CB make available an overview of the certification process in accordance with the certification scheme?

As a minimum, does the overview include the requirements for certification and its scope, a description of the assessment process, the applicant's rights, the duties of a certified person and the fees?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.1.2** Does the CB require the completion of an application, signed by the applicant seeking certification, which includes the following as a minimum:

- a. Information required to identify the applicant, such as name, address and other information required by the scheme;
- b. The scope of the desired certification;
- c. A statement that the applicant agrees to comply with the certification requirements and to supply any information needed for assessment;
- d. Any supporting information to demonstrate objectively compliance with the scheme prerequisites;
- e. Notice to the applicant of his/her opportunity to declare, within reason, a request for accommodation of special needs (see 9.2.5)

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*



### Clause Requirement

**9.1.3** Does the CB review the application to confirm that the applicant complies with the application requirements of the certification scheme?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

### 9.2 Assessment process

**9.2.1** Does the CB implement the specific assessment methods and mechanisms as defined in the certification scheme?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.2.2** When there is a change in the certification scheme which requires additional assessment, does the CB document and make publicly accessible without request the specific methods and mechanism required to verify that certified persons comply with changed requirements?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.2.3** Is the assessment planned and structured in a manner which ensures that the scheme requirements are objectively and systematically verified with documented evidence to confirm the competence of the candidate?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.2.4** Does the CB verify the methods for assessing candidates? Does this verification ensure that each assessment is fair and valid?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.2.5** Does the CB verify and accommodate special needs, within reason and where the integrity of the assessment is not violated, taking into account national regulation (see 9.1.2e)?



### Clause Requirement

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.2.6** *Where the CB takes into account work performed by another body, does it have appropriate reports, data and records to demonstrate that the results are equivalent to, and conform to the requirements established by the certification scheme?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

### **9.3 Examination process**

**9.3.1** *Are examinations designed to assess competence based on, and consistent with, the scheme, by written, oral, practical, observational or other reliable and objective means?  
Does the design of examination requirements ensure the comparability of results of each single examination, both in content and difficulty, including the validity of fail/pass decisions?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.3.2** *Does the CB have procedures to ensure a consistent examination administration?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.3.3** *Are criteria for conditions of administering examinations established, documented and monitored?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.3.4** *When technical equipment is used in the examination process, are the equipment verified or calibrated where appropriate?*



### Clause Requirement

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.3.5** *Are appropriate methodology and procedures (e.g. collecting and maintaining statistical data) documented and implemented in order to reaffirm, at justified defined intervals, the fairness, validity, reliability and general performance of each examination, and that all identified deficiencies are corrected?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

### 9.4 Decision on certification

**9.4.1** *Is the information gathered during the certification process sufficient:*

- a. *For the CB to make a certification decision;*
- b. *For traceability in the event, e.g. of an appeal or a complaint?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.4.2** *Are the decisions for granting, maintaining, recertifying, extending, reducing, suspending or withdrawing certification not outsourced?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.4.3** *Does the CB confine its decision on certification to those matters specifically related to the requirements of the certification scheme?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.4.4** *Is the decision on certification of a candidate made solely by the CB on the basis of the information gathered during the certification process?  
Are personnel who make the decision on certification different from personnel who have participated in the examination or training of the candidate?*





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State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.4.5** *Do the personnel who make the certification decisions have sufficient knowledge of and experience with the certification process to determine if the certification requirements have been met?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.4.6** *Is certification not granted until all certification requirements are fulfilled?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.4.7** *Does the CB provide a certificate to all certified persons?  
Does the CB maintain sole ownership of the certificates?  
Do the certificates take the form of a letter, card or other medium, signed or authorized by a responsible member of the personnel of the CB?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.4.8** *Do the certificates contains, as a minimum, the following information:*

- The name of the certified person;*
- A unique identification;*
- The name of the CB;*
- A reference to the certification scheme, standard or other relevant documents, including issue date, if relevant;*
- The scope of the certification including, if applicable, validity conditions and limitations;*
- The effective date of certification and date of expiry?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*



### Clause Requirement

#### 9.4.9 Is the certificate designed to reduce the risks of counterfeiting?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

#### 9.5 Suspending, withdrawing or reducing the scope of certification

**9.5.1** Does the CB have a policy and documented procedures for suspension or withdrawal of the certification, or reduction of the scope of certification, which specify the subsequent actions by the CB?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.5.2** Does failure to resolve the issues that have resulted in the suspension, in a time established by the CB, result in withdrawal of the certification or reduction of the scope of certification?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.5.3** Does the CB have enforceable arrangements with the certified person to ensure that in the event of suspension of certification, the certified person refrains from further promotion of the certification while it is suspended?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.5.4** Does the CB have enforceable arrangements with the certified person to ensure that, in the event of withdrawal of certification, the certified person refrains from use of all references to a certified status?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*



### Clause Requirement

#### 9.6 Recertification process

**9.6.1** Does the CB have documented procedures for implementation of the recertification process, in accordance with the certification scheme requirements?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.6.2** Does the CB ensure during the recertification process that it confirms continued competence of the certified person and ongoing compliance with current scheme requirements by the certified person?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.6.3** Is the recertification period based upon the scheme requirements?

- a. Does the rationale for the recertification period take into account, where relevant, the following:  
regulatory requirements;
- b. changes to normative documents;
- c. changes in the relevant scheme requirements;
- d. the nature and maturity of the industry or field in which the certified person is working;
- e. the risks resulting from an incompetent person;
- f. ongoing changes in technology, and requirements for certified persons;
- g. requirements of interested parties;
- h. the frequency and content of surveillance activities, if required by the scheme?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.6.4** Are the selected recertification activity/activities adequate to ensure that there is impartial assessment to confirm the continuing competence of the certified person?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*



### Clause Requirement

**9.6.5** *In accordance with the certification scheme, does recertification by the CB consider at least the following:*

- a. *On-site assessment;*
- b. *Professional development;*
- c. *Structured interview;*
- d. *Confirmation of continuing satisfactory work and work experience records;*
- e. *Examination;*
- f. *Checks on physical capability in relation to the competence concerned*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

### **9.7 Use of certificates, logos and marks**

**9.7.1** *Does the CB, if it provides a certification mark or logo, document the conditions for use and appropriately manage the rights for usage and representation?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.7.2** *Does the CB require that a certified person signs an agreement for the following reasons:*

- a. *To comply with the relevant provisions of the certification scheme;*
- b. *To make claims regarding certification only with respect to the scope for which certification has been granted*
- c. *Not to use the certification in such a manner as to bring the CB into disrepute, and not to make any statement regarding the certification which the CB considers misleading or unauthorized;*
- d. *To discontinue the use of all claims to certification that contain any reference to the CB or certification upon suspension or withdrawal of certification, and to return any certificates issued by the CB;*
- e. *Not to use the certificate in a misleading manner.*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.7.3** *Does CB address, by means of corrective measures, any misuse of its certification mark or logo?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*



### Clause Requirement

Findings/Comments: *(To be filled-up by the AB)*

#### **9.8 Appeals against decisions on certification**

**9.8.1** Does the CB have a documented process to receive, evaluate and make decisions on appeals? Do the appeals handling process include at least the following elements and methods:

- a. 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 if applicable, appropriate corrections and corrective actions are taken

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.8.2** Do the policies and procedures ensure that all appeals are dealt with in a constructive, impartial and timely manner?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.8.3** Is a description of the appeals-handling process publicly accessible without request?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.8.4** Is the CB responsible for all decisions at all levels of the appeals-handling process? Does the CB ensure that the decision making personnel engaged in the appeals handling process are different from those involved in the decision being appealed?

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.8.5** Do submission, investigation and decision on appeals result in any discriminatory actions against the appellant?

State the CB's established policies and procedures: *(To be filled-up by the CB)*



### Clause Requirement

Findings/Comments: *(To be filled-up by the AB)*

**9.8.6** *Does the CB acknowledge receipt of the appeal and does it provide the appellant with progress reports and the outcome?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.8.7** *Does the CB give formal notice to the appellant of the end of the appeals-handling process?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

### 9.9 Complaints

**9.9.1** *Does the CB have a documented process to receive, evaluate and make decisions on complaints?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.9.2** *Is a description of the complaints-handling process accessible without request?  
Do the procedures treat all parties fairly and equitably?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.9.3** *Do the policies and procedures ensure that all complaints are handled and processed in a constructive, impartial and timely manner?  
Does the complaints-handling process include at least the following elements and methods:*  
*a. An outline of the process for receiving, validating, investigating the complaint and 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 if applicable, appropriate corrections and corrective actions are taken*

State the CB's established policies and procedures: *(To be filled-up by the CB)*



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### Clause Requirement

Findings/Comments: *(To be filled-up by the AB)*

**9.9.4** *Upon receipt of a complaint, does the CB confirm whether the complaint relates to certification activities for which it is responsible and if so, does it respond accordingly?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.9.5** *Whenever possible, does the CB acknowledge receipt of the complaint and provide the complainant with progress reports and the outcome?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.9.6** *Is the CB receiving the complaint responsible for gathering and verifying all necessary information to validate the complaint?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.9.7** *Whenever possible, does the CB give formal notice of the end of the complaints-handling process to the complainant?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.9.8** *Is any substantiated complaint about a certified person referred by the CB to the certified person in question at an appropriate time?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.9.9** *Is the complaints-handling process subject to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint?*



### Clause Requirement

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**9.9.10** *Is the decision to be communicated to the complainant made by, or reviewed and approved by, personnel not previously involved in the subject of the complaint?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

### **10 Management system requirements**

#### **10.1 General**

*Does the CB establish, document, implement and maintain a management system that is capable of supporting and demonstrating the consistent achievement of the requirements of 17024?*

*In addition to meeting the requirements of Clauses 4 to 9, does the CB implement a management system in accordance with either Option A or Option B, as follows:*

- a. Option A: a general management system which fulfills the requirements of 10.2; or*
- b. Option B: a body that has established and maintains a management system, in accordance with the requirements of ISO 9001, and that is capable of supporting and demonstrating the consistent fulfillment of the requirements of 17024, fulfills the management system requirements of 10.2*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

#### **10.2 General management system requirements**

##### **10.2.1 General**

*Does the CB establish, document, implement and maintain a management system that is capable of supporting and demonstrating the consistent achievement of the requirements of 17024?*

*Does the CB's top management establish and document policies and objectives for its activities?*

*Does the top management provide evidence of its commitment to the development and implementation of the management system in accordance with the requirements of 17024?*

*Does the top management ensure that the policies are understood, implemented and maintained at all levels of the CB's organization?*

*Does the CB's top management appoint a member of the management, who irrespective of other responsibilities, have responsibility and authority that include:*

- a. Ensuring that processes and procedures needed for the management system are established, implemented and maintained;*
- b. Reporting to top management on the performance of the management system and any need for improvement*





### Clause Requirement

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

#### 10.2.2 Management system documentation

*Are applicable requirements of 17024 documented?*

*Does the CB ensure that the management system documentation is provided to all relevant personnel?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

#### 10.2.3 Control of documents

*Does the CB establish procedures to control the documents (internal and external) that relates to the fulfilment of 17024?*

*Do the procedures define the controls needed to:*

- a. Approve documents for adequacy prior to issue;*
- b. Review and update as necessary and re-approve documents;*
- c. Ensure that changes and the current revision status of documents are identified;*
- d. Ensure that relevant versions of applicable documents are provided at points of use;*
- e. Ensure that documents remain legible and readily identifiable;*
- f. Ensure that documents of external origin are identified and their distribution controlled;*
- g. Prevent the unintended use of obsolete documents and apply suitable identification if they are retained for any purpose*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

#### 10.2.4 Control of records

*Does the CB 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 17024?*

*Does the CB establish procedures for retaining records for a period consistent with its contractual and legal obligations?*

*Is access to these records consistent with the confidentiality arrangements?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*



### Clause Requirement

#### 10.2.5 Management review

##### 10.2.5.1 General

*Does the CB's top management establish procedures to review its management system at planned intervals, in order to ensure its continuing suitability, adequacy and effectiveness, including the stated policies and objectives related to the fulfilment of 17024?*

*Are these reviews conducted at least once every 12 months and are they documented?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

##### 10.2.5.2 Review input

*Does the input to the management review include information related to the following:*

- a. Results of internal and external audits (e.g. accreditation body assessment);*
- b. Feedback from applicants, candidates, certified persons and interested parties related to the fulfilment of 17024;*
- 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;*
- h. Appeals and complaints*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

##### 10.2.5.3 Review output

*Does the output from the management review include as a minimum decisions and actions related to the following:*

- a. Improvement of the effectiveness of the management system and its processes;*
- b. Improvement of the certification services related to the fulfilment of 17024;*
- c. Resource needs*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

#### 10.2.6 Internal audits

**10.2.6.1** *Does the CB establish procedures for internal audits to verify that it fulfills the requirements of 17024 and that the management system is effectively implemented and maintained?*



### Clause Requirement

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**10.2.6.2** *Is an audit programme planned, taking into consideration the importance of the processes and areas to be audited, as well as the results of previous audits?*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**10.2.6.3** *Are internal audits performed at least once every 12 months? (the frequency of internal audits may be reduced if the CB demonstrates that its management system continues to be effectively implemented in accordance with 17024 and has proven stability)*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

**10.2.6.4** *Does the CB ensure that:*

- a. Internal audits are conducted by competent personnel, knowledgeable in the certification process, auditing and the requirements of 17024;*
- b. Auditors do not audit their own work;*
- c. Personnel responsible for the area audited are informed of the outcome of the audit;*
- d. Any actions resulting from internal audits are taken in a timely and appropriate manner;*
- e. Any opportunities for improvement are identified*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*



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### Clause Requirement

#### 10.2.7 Corrective actions

*Does the CB establish procedures for identification and management of nonconformities in its operations?*

*Does the CB, where necessary, take actions to eliminate the causes of nonconformities in order to prevent recurrence?*

*Are corrective actions appropriate to the impact of the problems encountered?*

*Do the procedures define requirements for the following:*

- a. Identifying nonconformities;*
- b. Determining the causes of nonconformities;*
- c. Correcting nonconformities;*
- d. Evaluating the need for actions to ensure that nonconformities do not recur;*
- e. Determining and implementing the actions needed in a timely manner;*
- f. Recording the results of actions taken;*
- g. Reviewing the effectiveness of corrective actions*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*

#### 10.2.8 Preventive actions

*Does the CB establish procedures for taking preventive actions to eliminate the causes of potential nonconformities?*

*Are preventive actions taken appropriate to the probable impact of the potential problems?*

*Do the procedures for preventive actions define requirements for the following:*

- a. Identifying potential nonconformities and their causes;*
- b. Evaluating the need for action to prevent the occurrence of nonconformities;*
- c. Determining and implementing the action needed;*  
*Recording the results of actions taken;*
- d. Reviewing the effectiveness of the preventive actions taken*

State the CB's established policies and procedures: *(To be filled-up by the CB)*

Findings/Comments: *(To be filled-up by the AB)*