MODULE C: REPORT OF THE LEAD ASSESSOR

(EN ISO 17021-1:2015 / EMAS)

# Representatives of the body

|  |  |
| --- | --- |
| Function Can be changed according to the naming used by the body | Name |
| Responsible for the management system |  |
| Technical responsible |  |
| … |  |

# Random evaluation of the implementation of the corrective actions taken following the previous assessment

|  |  |
| --- | --- |
| ID code of the previous assessment |  |

The random evaluation of the follow-up of the non-conformity is recorded as “+” when all elements have been sufficiently followed up and resolved and it can be closed.
A new non-conformity XX-Ay or XX-By (XX = initials assessor, y = reference number of the non-conformity in this partial report), is defined if

* some elements are not yet resolved; and/or
* some elements are not OK; and/or
* the implemented solution has given rise to a new non-conformity.

|  |  |  |
| --- | --- | --- |
| Non-conformity of the previous assessment | Evaluation of the follow-up and effectiveness of the corrective action(s) taken | Evaluation |
|  |  |  |
|  |  |  |

# Assessment report

Please indicate the evaluation after each standard element:

* + (evaluated and OK);
* XX-Ay or XX-By (evaluated, but with non-conformity: XX=initials assessor, y=number of the non-conformity in this partial report);
* ne (not evaluated);
* na (not applicable).

Text in blue is for explanatory purposes and should be removed.

### General / Organisation

#### EN ISO/IEC 17021-1:2015 § 5 General requirements

##### EN ISO/IEC 17021-1:2015 § 5.1. Legal and contractual matters

|  |  |  |
| --- | --- | --- |
| Clause | Description | Evaluation |
| 5.1.1  | Legal responsibility  |  |
| 5.1.2 | Certification agreement |  |
| 5.1.3 | Responsibility for certification decisions |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

##### EN ISO/IEC 17021-1:2015 § 5.2. Management of impartiality

|  |  |  |
| --- | --- | --- |
| Clause | Description | Evaluation |
| 5.2.1 | Conformity assessment activities are undertaken impartially. The certification body is responsible for the impartiality of its conformity assessment activities and does not allow commercial, financial or other pressures to compromise impartiality |  |
| 5.2.2 | The certification body has top management commitment to impartiality The certification body has a policy that:* understands the importance of impartiality in carrying out its management system certification activities
* manages conflict of interest
* ensures the objectivity of its management system certification activities.
 |  |
| 5.2.3 | The certification body has a process to identify, analyse, evaluate, treat, monitor, and document the risks related to conflict of interests.Threats to impartiality are documented, eliminated or minimized and residual risks are documented and reviewed by top management.The risk assessment process includes identification of and consultation with appropriate interested parties. |  |
| 5.2.4 | The certification body does not certify another certification body for its quality management system. |  |
| 5.2.5. | The certification body does not offer or provide management system consultancy. |  |
| 5.2.6 | The certification body does not offer or provide internal audits to its certified clients. |  |
| 5.2.7 | Where a client has received management systems consultancy from a body that has a relationship with a certification body, the certification body does not certify the management system for a minimum of two years following the end of the consultancy. |  |
| 5.2.8 | The certification body does not outsource audits to a management system consultancy organization. |  |
| 5.2.9 | The certification body’s activities are not marketed or offered as linked with the activities of an organization that provides management system consultancy. |  |
| 5.2.10 | Personnel who have provided management system consultancy, (including management) do not take part in an audit or other certification activities if they have been involved in management system consultancy towards the client. |  |
| 5.2.11 | The certification body takes 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, act impartially and do not allow commercial, financial or other pressures to compromise impartiality. |  |
| 5.2.13 | The certification body requires personnel, internal and external, to reveal any situation known to them that can present them or the certification body with a conflict of interests. This information is recorded and used as input to identifying threats to impartiality. The certification body does not use such personnel, internal or external, unless they can demonstrate that there is no conflict of interest. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

##### EN ISO/IEC 17021-1:2015 § 5.3. Liability and financing

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| --- | --- | --- |
| Clause | Description | Evaluation |
| 5.3.1 | The certification body is 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 in each of its fields of activities and the geographic areas in which it operates. |  |
| 5.3.2 | The certification body evaluates its finances and sources of income and demonstrates that initially, and on an ongoing basis, commercial, financial or other pressures do not compromise its impartiality. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

#### EN ISO/IEC 17021-1:2015 § 6: Structural requirements

##### EN ISO/IEC 17021-1:2015 § 6.1. Organizational structure and top management

|  |  |  |
| --- | --- | --- |
| Clause | Description | Evaluation |
| 6.1.1 | The certification body documents its organizational structure, duties, responsibilities and authorities of * management
* other personnel involved in certification
* any committees.

When the certification body is a defined part of a legal entity, the structure includes the line of authority and the relationship to other parts within the same legal entity. |  |
| 6.1.2. | Certification activities are structured and managed so as to safeguard impartiality. |  |
| 6.1.3. | The certification body identifies the top management having overall authority and responsibility. |  |
| 6.1.4. | The certification body has formal rules for the appointment, terms of reference andoperation of any committees that are involved in the certification activities. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

##### EN ISO/IEC 17021-1:2015 § 6.2. Operational control

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| --- | --- | --- |
| Clause | Description | Evaluation |
| 6.2.1 | The certification body has a process for the effective control of certification activitiesdelivered by branch offices, partnerships, agents, franchisees, etc., irrespective of their legal status, relationship or geographical location. |  |
| 6.2.2. | The certification body considers the appropriate level and method of control of activities undertaken including * its processes
* technical areas of certification bodies’ operations
* competence of personnel
* lines of management control
* reporting
* remote access to operations including records.
 |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

### Personnel (Remark: Evaluation with the application of Annex A)

#### EN ISO/IEC 17021-1:2015 § 7: Resource requirements

##### EN ISO/IEC 17021-1:2015 § 7.1. Competence of personnel

|  |  |  |
| --- | --- | --- |
| Clause | Description | Evaluation |
| 7.1.1 | General considerations |  |
| 7.1.2  | Determination of competence criteria (+ additional requirements)\* |  |
| 7.1.3 | Evaluation processes |  |
| 7.1.4. | Other considerations |  |

\* additional requirements: f.e. ISO TS 17021-2 (EMS) ; ISO TS 17021-3 (QMS), ISO TS 22003 (FSMS)…… : please specify) :

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

##### EN ISO/IEC 17021-1:2015 § 7.2. Personnel involved in the certification activities

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| --- | --- | --- |
| Clause | Description | Evaluation |
| 7.2.1 | The certification body has sufficient, competent personnel for managing and supporting the type and range of audit programs and other certification work performed. |  |
| 7.2.2 | The certification body employs, or has 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 makes clear to each person concerned their duties, responsibilities and authorities. |  |
| 7.2.4 | The certification body has processes for selecting, training, formally authorizing auditors and for selecting and familiarizing technical experts used in the certification activity. |  |
| 7.2.5 | The certification body has 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 ensures that auditors (and technical experts) areknowledgeable of its audit processes, certification requirements and other relevant requirements. The certification body gives 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 identifies training needs and offers 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, renewing, suspending, restoring, or withdrawing certification, or on expanding or reducing the scope of certification, understands the applicable standard and certification requirements, and has demonstrated competence to evaluate the outcomes of the audit processes including related recommendations of the audit team. |  |
| 7.2.9 | The certification body ensures the satisfactory performance of all personnel involved in the audit and other certification activities. There is a documented process for monitoring competence and 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 reviews and records the competence of its personnel in the light of their performance in order to identify training needs. |  |
| 7.2.10 | The certification body monitors each auditor considering each type of management system to which the auditor is deemed competent. The documented monitoring process for auditors includes a combination of on-site evaluation, review of audit reports and feedback from clients or from the market. |  |
| 7.2.11 | The certification body periodically evaluates the performance of each auditor on-site. The frequency of on-site evaluations is based on need determined from all monitoring information available. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

##### EN ISO/IEC 17021-1:2015 § 7.3. Use of individual external auditors and external technical experts

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| --- | --- | --- |
| Clause | Description | Evaluation |
| 7.3 | The certification body requires external auditors and external technical experts to have a written agreement by which they commit themselves to comply with applicable policies and implement processes as defined by the certification body. The agreement addresses aspects relating to confidentiality and impartiality and requires 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. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

##### EN ISO/IEC 17021:2007§ 7.4. Personnel records

|  |  |  |
| --- | --- | --- |
| Clause | Description | Evaluation |
| 7.4 | The certification body maintains up-to-date personnel records, including relevant qualifications, training, experience, affiliations, professional status and competence. This includes management and administrative personnel in addition to those performing certification activities. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

### Outsourcing

##### EN ISO/IEC 17021-1:2015 § 7.5. Outsourcing

|  |  |  |
| --- | --- | --- |
| Clause | Description | Evaluation |
| 7.5.1. | The certification body has a process in which it describes the conditions under which may take place. The certification body has a legally enforceable agreement covering the arrangements, including confidentiality and conflicts of interests, with each body that provides outsourced services. |  |
| 7.5.2 | Decisions for certification are not outsourced. |  |
| 7.5.3 | The certification body:takes responsibility for all activities outsourced to another body;ensures that the body that provides outsourced services, conform to requirements of the certification body and also to the applicable provisions of this part of ISO/IEC 17021, including competence, impartiality and confidentiality;ensures that the body that provides outsourced services are 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 has a process for the approval and monitoring of all bodies that provide outsourced services used for certification activities, and ensures that records of the competence of all personnel involved in certification activities are maintained. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

### Information, certification documents

#### EN ISO/IEC 17021-1:2015 § 8: Information requirements

##### EN ISO/IEC 17021-1:2015 § 8.1. Public information

|  |  |  |
| --- | --- | --- |
| Clause | Description | Evaluation |
| 8.1.1 | The certification body maintains and makes public, without request, in all the geographical areas in which it operates, information aboutaudit processes;processes for granting, refusing, maintaining, renewing, suspending, restoring or withdrawing certification or expanding or reducing the scope of certification;types of management systems and certification schemes in which it operates;the use of the certification body’s name and certification mark or logo;processes for handling requests for information, complaints and appeals;policy on impartiality. |  |
| 8.1.2 | The certification body provides upon request information about:geographical areas in which it operates;the status of a given certification;the name, related normative document, scope and geographical location (city and country) for a specific certified client |  |
| 8.1.3 | Information provided by the certification body to any client or to the marketplace, including advertising, is accurate and not misleading. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

##### EN ISO/IEC 17021-1:2015 § 8.2. Certification documents

|  |  |  |
| --- | --- | --- |
| Clause | Description | Evaluation |
| 8.2.1 | The certification body provides by any means it chooses certification documents to the certified client. |  |
| 8.2.2 | The certification document(s) identifies the following:the name and geographical location of each certified client (and sites);the effective date of certification (not before the date of the relevant certification decision)the expiry date or recertification due date a unique identification code;the management system standard and/or other normative document, including indication of issue status the scope of certification with respect to the type of activities, products and services as applicable at each site;the name, address and certification mark of the certification body; any other information required by the standard and/or other normative document used for certification;in the event of issuing any revised certification documents, a means to distinguish the revised documents from any prior obsolete documents. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

##### EN ISO/IEC 17021-1:2015 § 8.3. Reference to certification and use of marks

|  |  |  |
| --- | --- | --- |
| Clause | Description | Evaluation |
| 8.3.1 | The certification body has rules governing any management system certification mark that it authorizes certified clients to use. |  |
| 8.3.2 | The certification body does not permit its marks to be applied by certified clients to laboratory test, calibration or inspection reports or certificates. |  |
| 8.3.3 | The certification body has rules governing the use of any statement on product packaging or in accompanying information that the certified client has a certified management systemThe statement shall include reference to:* identification (e.g. brand or name) of the certified client;
* the type of management system (e.g. quality, environment) and the applicable standard;
* the certification body issuing the certificate.
 |  |
| 8.3.4 | The certification body requires through legally enforceable arrangements that the certified client:conforms to the requirements of the certification body when making reference to its certification status in communication media does not make or permit any misleading statement regarding its certification;does not use or permit the use of a certification document in a misleading manner;upon withdrawal of its certification, discontinues its use of all advertising matter that contains a reference to certification, as directed by the certification body (see 9.6.5);amends all advertising matter when the scope of certification has been reduced;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;does not imply that the certification applies to activities and sites that are outside the scope of certification;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 exercises proper control of ownership and takes action to deal with incorrect references to certification status or misleading use of certification documents, marks or audit reports. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

##### EN ISO/IEC 17021-1:2015 § 8.4. Confidentiality

|  |  |  |
| --- | --- | --- |
| Clause | Description | Evaluation |
| 8.4.1 | The certification body is responsible, through legally enforceable agreements, for the management of all information obtained or created during the performance of certification activities at all levels of its structure, including committees and external bodies or individuals acting on its behalf. |  |
| 8.4.2 | The certification body informs 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, is considered confidential. |  |
| 8.4.3 | Information about a particular certified client or individual is not disclosed to a third party without the written consent of the certified client or individual concerned. |  |
| 8.4.4 | When the certification body is required by law or authorized by contractual arrangements to release confidential information, the client or individual concerned is, unless prohibited by law, notified of the information provided. |  |
| 8.4.5 | Information about the client from sources other than the client (e.g. complainant, regulators) are treated as confidential, consistent with the certification body’s policy. |  |
| 8.4.6 | Personnel keeps confidential all information obtained or created during the performance of the certification body’s activities except as required by law. |  |
| 8.4.7 | The certification body has processes and where applicable equipment and facilities that ensure the secure handling of confidential information. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

##### EN ISO/IEC 17021-1:2015 § 8.5. Information exchange between a certification body and its clients

|  |  |  |
| --- | --- | --- |
| Clause | Description | Evaluation |
| 8.5.1 | Information on the certification activity and requirements |  |
| 8.5.2 | Notice of changes by a certification body |  |
| 8.5.3 | Notice of changes by a certified client |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

### Certification: process

#### EN ISO/IEC 17021-1:2015 § 9: Process requirements

##### EN ISO/IEC 17021-1:2015 § 9.1. Pre-certification activities

|  |  |  |
| --- | --- | --- |
| Clause | Description | Evaluation |
| 9.1.1 | Application |  |
| 9.1.2 | Application review |  |
| 9.1.3 | Audit programme |  |
| 9.1.4 | Determining audit time |  |
| 9.1.5 | Multi-site sampling |  |
| 9.1.6 | Multiple management systems standards |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

##### EN ISO/IEC 17021-1:2015 § 9.2. Planning audits

|  |  |  |
| --- | --- | --- |
| Clause | Description | Evaluation |
| 9.2.1 | Determining audit objectives, scope and criteria |  |
| 9.2.2 | Audit team selection and assignments |  |
| 9.2.3 | Audit plan |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

##### EN ISO/IEC 17021-1:2015 § 9.3. Initial certification

|  |  |  |
| --- | --- | --- |
| Clause | Description | Evaluation |
| 9.3.1 | Initial certification audit |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

##### EN ISO/IEC 17021-1:2015 § 9.4. Conducting audits

|  |  |  |
| --- | --- | --- |
| Clause | Description | Evaluation |
| 9.4.1 | General |  |
| 9.4.2 | Conducting the opening meeting |  |
| 9.4.3 | Communication during the audit |  |
| 9.4.4 | Obtaining and verifying information |  |
| 9.4.5 | Identifying and recording audit findings |  |
| 9.4.6 | Preparing audit conclusions |  |
| 9.4.7 | Conducting the closing meeting |  |
| 9.4.8 | Audit report |  |
| 9.4.9 | Cause analysis of nonconformities |  |
| 9.4.10 | Effectiveness of corrections and corrective actions |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

##### EN ISO/IEC 17021-1:2015 § 9.5. Certification decision

|  |  |  |
| --- | --- | --- |
| Clause | Description | Evaluation |
| 9.5.1 | General: |  |
| 9.5.2 | Actions prior to making a decision |  |
| 9.5.3 | Information for granting initial certification |  |
| 9.5.4 | Information for granting recertification |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

### Certification: follow up / administrative procedures

##### EN ISO/IEC 17021-1:2015 § 9.6. Maintaining certification

|  |  |  |
| --- | --- | --- |
| Clause | Description | Evaluation |
| 9.6.1 | General: |  |
| 9.6.2 | Surveillance activities: |  |
| 9.6.3 | Recertification: |  |
| 9.6.4 | Special audits: |  |
| 9.6.5 | Suspending, withdrawing or reducing the scope of certification: |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

##### EN ISO/IEC 17021-1:2015 § 9.7. Appeals

|  |  |  |
| --- | --- | --- |
| Clause | Description | Evaluation |
| 9.7.1 | The certification body has a documented process to receive, evaluate and make decisions on appeals.  |  |
| 9.7.2 | The certification body is responsible for all decisions at all levels of the appeals-handling process. The certification body ensures that the persons engaged in the appeals-handling process are different from those who carried out the audits and made the certification decisions.  |  |
| 9.7.3 | Submission, investigation and decision on appeals do not result in any discriminatory actions against the appellant.  |  |
| 9.7.4 | The appeals-handling process includes at least the following elements and methods:an outline of the process for receiving, validating and investigating the appeal, and for deciding what actions need to be taken in response to it, taking into account the results of previous similar appeals;tracking and recording appeals, including actions undertaken to resolve them;ensuring that any appropriate correction and corrective action are taken. |  |
| 9.7.5 | The certification body receiving the appeal is responsible for gathering and verifying all necessary information to validate the appeal.  |  |
| 9.7.6 | The certification body acknowledges receipt of the appeal and provides the appellant with progress reports and the result of the appeal. |  |
| 9.7.7 | The decision to be communicated to the appellant is made by, or reviewed and approved by, individual(s) not previously involved in the subject of the appeal.  |  |
| 9.7.8 | The certification body gives formal notice to the appellant of the end of the appeals handling process.  |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

##### EN ISO/IEC 17021-1:2015 § 9.8. Complaints

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| --- | --- | --- |
| Clause | Description | Evaluation |
| 9.8.1  | The certification body is responsible for all decisions at all levels of the complaints handling process. |  |
| 9.8.2 | Submission, investigation and decision on complaints do not result in any discriminatory actions against the complainant. |  |
| 9.8.3 | Upon receipt of a complaint, the certification body confirms whether the complaint relates to certification activities that it is responsible for and, if so, deals with it. If the complaint relates to a certified client, then examination of the complaint shall consider the effectiveness of the certified management system. |  |
| 9.8.4 | Any valid complaint about a certified client is also referred by the certification body to the certified client in question at an appropriate time. |  |
| 9.8.5 | The certification body has a documented process to receive, evaluate and make decisions on complaints. This process is subject to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint. |  |
| 9.8.6 | The complaints-handling process includes at least the following elements and methods:an outline of the process for receiving, validating, investigating the complaint, and for deciding what actions need to be taken in response to it;tracking and recording complaints, including actions undertaken in response to them;ensuring that any appropriate correction and corrective action are taken. |  |
| 9.8.7 | The certification body receiving the complaint is responsible for gathering and verifying all necessary information to validate the complaint. |  |
| 9.8.8 | Whenever possible, the certification body acknowledges receipt of the complaint, and provides the complainant with progress reports and the result of the complaint. |  |
| 9.8.9 | The decision to be communicated to the complainant is made by, or reviewed and approved by, individual(s) not previously involved in the subject of the complaint. |  |
| 9.8.10 | Whenever possible, the certification body gives formal notice of the end of the complaints-handling process to the complainant. |  |
| 9.8.11 | The certification body determines, together with the certified client and the complainant, whether and, if so to what extent, the subject of the complaint and its resolution shall be made public. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

##### EN ISO/IEC 17021-1:2015 § 9.9. Client records

|  |  |  |
| --- | --- | --- |
| Clause | Description | Evaluation |
| 9.9.1 | The certification body maintains 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. |  |
| 9.9.2 | Records on certified clients includes the following:application information and initial, surveillance and recertification audit reports;certification agreement;justification of the methodology used for sampling of sites, as appropriate;justification for auditor time determination (see 9.1.4);verification of correction and corrective actions;records of complaints and appeals, and any subsequent correction or corrective actions;committee deliberations and decisions, if applicable;documentation of the certification decisions;certification documents, including the scope of certification with respect to product, process or service, as applicable;related records necessary to establish the credibility of the certification, such as evidence of the competence of auditors and technical experts;audit programmes. |  |
| 9.9.3 | The certification body keeps the records on applicants and clients secure to ensure that the information is kept confidential. Records are transported, transmitted or transferred in a way that ensures that confidentiality is maintained. |  |
| 9.9.4 | The certification body has a documented policy and documented procedures on the retention of records. Records of certified clients and previously certified clients are retained for the duration of the current cycle plus one full certification cycle. |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

### Management system requirements

#### EN ISO/IEC 17021-1:2015 § 10 Management system requirements for certification bodies

##### EN ISO/IEC 17021-1:2015 § 10.1. Options

In addition to meeting the requirements of Clauses 5 to 9, the certification body shall implement a management system in accordance with either:

|  |  |  |
| --- | --- | --- |
| Option A | General management system requirements (see 10.2);  |  |
| Option B | Management system requirements in accordance with ISO 9001 (see 10.3). |  |

##### EN ISO/IEC 17021-1:2015 § 10.2. Option A: General management system requirements

|  |  |  |
| --- | --- | --- |
| Clause | Description | Evaluation |
| 10.2.1 | General: management system, policies and objectives, top management commitment, responsibility and authority |  |
| 10.2.2 | Management system manual |  |
| 10.2.3 | Control of documents |  |
| 10.2.4 | Control of records |  |
| 10.2.5 | Management review |  |
| 10.2.6 | Internal audits |  |
| 10.2.7 | Corrective actions |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

##### EN ISO/IEC 17021-1:2015 § 10.3. Option B: Management system requirements in accordance with ISO 9001

|  |  |  |
| --- | --- | --- |
| Clause | Description | Evaluation |
| 10.3.1 | General |  |
| 10.3.2 | Scope |  |
| 10.3.3 | Customer focus |  |
| 10.3.4 | Management review |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities:

### Additional requirements

|  |  |  |
| --- | --- | --- |
| General |  |  |
| Reference | Evaluation | Conclusion |
| BELAC 2-001 (reference to accreditation) |  |  |
| BELAC 2-002 (accreditatiescope: fixed versus flexible – sleeping activities) |  |  |
| BELAC 2-003 (traceability of measurements) |  |  |
| BELAC 2-312 - IAF MD 1: (certification of a multi-site organization) |  |  |
| BELAC 2-312 - IAF MD 2: (Transfer of certification) |  |  |
| BELAC 2-312 - IAF MD 4: (Use of ICT for auditing/assessment) |  |  |
| BELAC 2-312 - IAF MD 5: (Determination of audit for certification (QMS, EMS, OHMS)) |  |  |
| BELAC 2-312 - IAF MD 11: (Certification of integrated management systems) |  |  |
| BELAC 2-312 - IAF MD 15: (Collection of data to provide indicators on the performance of certification bodies performance) |  |  |
| BELAC 2-312 - IAF MD 23: (Control of entities operating on behalf of certification bodies) |  |  |

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| Specific for EMS |  |  |
| Reference | Evaluation | Conclusion |
| Belac 2-314 (EA 7/04 Legal Compliance as a part of accredited ISO 14001:2015 certification) |  |  |

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| Specific for EMAS |  |  |
| Reference | Evaluation | Conclusion |
| Regulation (EU) Nr. 1221/2009 (EMAS III) |  |  |
| BELAC 2-313  |  |  |
| SRDs (Sectoral Reference Documents) |  |  |
| EMAS User’s Guide  |  |  |

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| Specific for NoBo’s |  |  |
| Reference | Evaluation | Conclusion |
| BELAC 2-404 (EA - 2/17 Notified Body) |  |  |

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| Sector schemes |  |  |
| Reference | Evaluation | Conclusion |
| BELAC 2-403 (Guidelines regarding the self-checking guides for the food industry and its suppliers, including the use of a flexible scope) |  |  |
| BELAC 2-405 Asbest (certification of asbestos removal) |  |  |
| BELAC 2-405 EnMS (energy managementsystems (EN ISO 50001) |  |  |
| BELAC 2-405-FSMS (food safety management systems) |  |  |
| BELAC 2-405-ISMS (information securitymanagement systems (ISO/IEC 27001)) |  |  |
| BELAC 2-405-MDQS (medical devices quality management system (ISO 13485) |  |  |
| BELAC 2-405-OH&SMS (occupational health and safety management systems (ISO 45001)) |  |  |
| BELAC 2-405-Weldments (Guidelines for the use of EN ISO/IEC 17065 and EN ISO/IEC 17021-1 for certification according to EN 3834) |  |  |

###### Main documents subject to evaluation:

###### Overall description of the findings, including the reference to any detected non-conformities: