

**Dotazník – Checklist (EPA)**

**Zpráva odborného posuzovatele SJ (COV)**

|  |  |  |
| --- | --- | --- |
| **Date of the visit:** |  | **Identification No:** |
|  |  |  |

| **Location ordinal No.** | **Location Name** | **Location Address** |
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**Name and Surname of the Assessor:**

**Identification No.:**

**4 General requirements**

**4.1 Legal and contractual matters**

**4.1.1 Legal responsibility**

Is the certification body a legal entity, or a defined part of a legal entity, such that the legal entity can be held legally responsible for all its certification activities?

*NOTE A governmental certification body is deemed to be a legal entity on the basis of its governmental status.*

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| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.1.2 Certification agreement**

**4.1.2.1** Does the certification body have a legally enforceable agreement for the provision of Certification activities to its clients? Do these certification agreements take into account the responsibilities of the Certification body and its clients?

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.1.2.2** Does the certification body ensure its certification agreement requires that the client comply at least, with the following:

a) the client always fulfills the certification requirements (see 3.7), including implementing appropriate changes when they are communicated by the certification body (see 7.10);

b) if the certification applies to ongoing production, the certified product continues to fulfill the product requirements (see 3.8);

c) the client makes all necessary arrangements for

1) the conduct of the evaluation (see 3.3) and surveillance (if required), including provision for examining documentation and records, and access to the relevant equipment, location(s), area(s), personnel, and client's subcontractors;

2) investigation of complaints;

3) the participation of observers, if applicable;

d) the client makes claims regarding certification consistent with the scope of certification (see 3.10);

e) the client does not use its product certification in such a manner as to bring the certification body into disrepute and does not make any statement regarding its product certification that the certification body may consider misleading or unauthorized;

f) upon suspension, withdrawal, or termination of certification, the client discontinues its use of all advertising matter that contains any reference thereto and takes action as required by the certification scheme (e.g. the return of certification documents) and takes any other required measure;

g) if the client provides copies of the certification documents to others, the documents shall be reproduced in their entirety or as specified in the certification scheme;

h) in making reference to its product certification in communication media such as documents, brochures or advertising, the client complies with the requirements of the certification body or as specified by the certification scheme;

i) the client complies with any requirements that may be prescribed in the certification scheme relating to the use of marks of conformity, and on information related to the product;

*NOTE See also ISO/IEC 17030, ISO/IEC Guide 23 and ISO Guide 27.*

j) the client keeps a record of all complaints made known to it relating to compliance with certification requirements and makes these records available to the certification body when requested, and

1) takes appropriate action with respect to such complaints and any deficiencies found in products that affect compliance with the requirements for certification;

2) documents the actions taken.

*NOTE Verification of item j) by the certification body can be specified in the certification scheme.*

k) the client informs the certification body, without delay, of changes that may affect its ability to conform with the certification requirements?

*NOTE Examples of changes can include the following:*

*– the legal, commercial, organizational status or ownership,*

*– organization and management (e.g. key managerial, decision-making or technical staff),*

*– modifications to the product or the production method,*

*– contact address and production sites,*

*– major changes to the quality management system.*

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.1.3 Use of license, certificates, and marks of conformity**

**4.1.3.1** Does the certification body exercise the control as specified by the certification scheme over ownership, use, and display of licenses, certificates, marks of conformity, and any other mechanisms for indicating a product is certified?

*NOTE 1 Guidance on the use of certificates and marks permitted by the certification body can be obtained from ISO/IEC Guide 23.*

*NOTE 2 ISO/IEC 17030 provides requirements for the use of third-party marks.*

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| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.1.3.2** Are any incorrect references to the certification scheme, or misleading use of licenses, certificates, marks, or any other mechanism for indicating a product is certified, found in the documentation or other publicity, dealt with by suitable action?

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| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.2 Management of impartiality**

**4.2.1** Are **c**ertification activities undertaken impartially?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.2.2** Isthe certification body responsible for the impartiality of its certification activities and does it not allow commercial, financial or other pressures to compromise impartiality?

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| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.2.3** Does the certification body identify risks to its impartiality on an ongoing basis? Does this include those risks that arise from its activities, from its relationships, or from the relationships of its personnel (see 4.2.12)? However, such relationships may not necessarily present a certification body with a risk to impartiality.

*NOTE 1 A relationship presenting a risk to the impartiality of the certification body can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing (including branding), and payment of a sales commission or other inducement for the referral of new clients, etc.*

*NOTE 2 Identifying risks does not imply risk assessments as stated in ISO 31000.*

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.2.4** If a risk to impartiality is identified, is the certification body able to demonstrate how it eliminates or minimizes such risk?

Is this information made available to the mechanism specified in 5.2?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.2.5** Does the certification body‘s top management have a commitment to impartiality?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.2.6** Is/Does the certification body and any part of the same legal entity and entities under its organizational control (see 7.6.4) not:

a) the designer, manufacturer, installer, distributor or maintainer of the certified product;

b) the designer, implementer, operator or maintainer of the certified process;

c) the designer, implementer, provider or maintainer of the certified service;

d) offer or provide consultancy (see 3.2) to its clients;

e) offer or provide management system consultancy or internal auditing to its clients where the certification scheme requires the evaluation of the client’s management systém?

*NOTE 1 This does not preclude the following:*

*– the possibility of exchange of information (e.g. explanations of findings or clarifying requirements) between the certification body and its clients;*

*– the use, installing and maintaining of certified products which are necessary for the operations of the certification body.*

*NOTE 2 “Management system consultancy” is defined in ISO/IEC 17021:2011, definition 3.3.*

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| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.2.7** Does the certification body ensure that activities of separate legal entities, with which the certification body or the legal entity of which it forms a part has relationships, do not compromise the impartiality of its certification activities?

*NOTE See 4.2.3, Note 1.*

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.2.8** Are the certification body's management personnel and personnel in the review and certification decision making process not involved in the activities of the separate legal entity when the separate legal entity in 4.2.7 offers or produces the certified product (including products to be certified) or offers or provides consultancy (see 3.2)?

Are the personnel of the separate legal entity not involved in the management of the certification body, the review, or the certification decision?

*NOTE For the evaluation personnel, impartiality requirements are stipulated in Clause 6 and additional requirements are given in the other relevant International Standards cited in 6.2.1 and 6.2.2.1.*

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.2.9** Are the certification body's activities not marketed or offered as linked with the activities of an organization that provides consultancy (see 3.2)?

Does the certification body not state or imply that certification would be simpler, easier, faster or less expensive if a specified consultancy organization were used?

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| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.2.10** Are personnel not used to review or make a certification decision for a product for which they have provided consultancy (see 3.2) within a period specified by the certification body?

*NOTE 1 The period can be specified in the certification scheme or, if specified by the certification body, it reflects a period that is long enough to ensure that the review or decision does not compromise impartiality. A specified period of two years is often used.*

*NOTE 2 For the evaluation personnel, impartiality requirements are stipulated in Clause 6 and additional requirements are given in the other relevant International Standards cited in 6.2.1 and 6.2.2.1.*

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.2.11** Does the certification body take action to respond to any risks to its impartiality, arising from the actions of other persons, bodies or organizations, of which it becomes aware?

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| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.2.12** Do all certification body personnel (either internal or external) or committees who could influence the certification activities act impartially?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.3 Liability and financing**

**4.3.1** Does the certification body have adequate arrangements (e.g. insurance or reserves) to cover liabilities arising from its operations?

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| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.3.2** Does the certification body have the financial stability and resources required for its operations?

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.4 Non-discriminatory conditions**

**4.4.1** Are the policies and procedures under which the certification body operates, and the administration of them, non-discriminatory?

Are procedures not used to impede or inhibit access by applicants, other than as provided for in this International Standard?

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| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:**   |
| **Note:** |

**4.4.2** Does the certification body make its services accessible to all applicants whose activities fall within the scope of its operations?

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.4.3** Is the access to the certification process not conditional upon the size of the client or membership of any association or group, or certification conditional upon the number of certifications already issued?

Are there no undue financial or other conditions?

*NOTE A certification body can decline to accept an application or maintain a contract for certification from a client when fundamental or demonstrated reasons exist, such as the client participating in illegal activities, having a history of repeated non-compliances with certification/product requirements, or similar client-related issues.*

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.4.4** Does the certification body confine its requirements, evaluation, review, decision, and surveillance (if any) to those matters specifically related to the scope of certification?

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.5 Confidentiality**

**4.5.1** Is the certification body responsible, through legally enforceable commitments, for the management of all information obtained or created during the performance of certification activities?

Are all other information considered proprietary information and are regarded as confidential except for information that the client makes publicly available, or when agreed between the certification body and the client (e.g. for the purpose of responding to complaints)?

Does the certification body inform the client, in advance, of the information it intends to place in the public domain?

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| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.5.2** Are the client or person concerned, unless prohibited by law, notified of the information provided when the certification body is required by law or authorized by contractual arrangements to release confidential information?

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| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**4.6 Publicly available information**

Does the certification body maintain (through publications, electronic media or other means), and make available upon request, the following:

1. information about (or reference to) the certification scheme(s), including evaluation procedures, rules, and procedures for granting, for maintaining, for extending or reducing the scope of, for suspending, for withdrawing or for refusing certification;
2. a description of the means by which the certification body obtains financial support and general information on the fees charged to applicants and to clients;
3. a description of the rights and duties of applicants and clients, including requirements, restrictions or limitations on the use of the certification body's name and certification mark and on the ways of referring to the certification granted;
4. information about procedures for handling complaints and appeals?

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**5 Structural requirements**

**5.1 Organizational structure and top management**

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

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**5.1.2** Does the certification body document its organizational structure, showing duties, responsibilities and authorities of management and other certification personnel and any committees? Does the structure include the line of authority and the relationship to other parts within the same legal entity when the certification body is a defined part of a legal entity?

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**5.1.3** Does the management of the certification body identify the board, group of persons, or person having overall authority and responsibility for each of the following:

a) development of policies relating to the operation of the certification body;

b) supervision of the implementation of the policies and procedures;

c) supervision of the finances of the certification body;

d) development of certification activities;

e) development of certification requirements;

f) evaluation (see 7.4);

g) review (see 7.5);

h) decisions on certification (see 7.6);

i) delegation of authority to committees or personnel, as required, to undertake defined activities on its behalf;

j) contractual arrangements;

k) provision of adequate resources for certification activities;

l) responsiveness to complaints and appeals;

m) personnel competence requirements;

n) management system of the certification body (see Clause 8)?

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**5.1.4** Does the certification body have formal rules for the appointment, terms of reference and operation of any committees that are involved in the certification process (see Clause 7)? Are such committees free from any commercial, financial and other pressures that might influence decisions? Does the certification body retain authority to appoint and withdraw members of such committees?

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| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**5.2 Mechanism for safeguarding impartiality**

**5.2.1** Does the certification body have a mechanism for safeguarding its impartiality? Does the mechanism provide input on the following:

a) the policies and principles relating to the impartiality of its certification activities;

b) any tendency on the part of a certification body to allow commercial or other considerations to prevent the consistent impartial provision of certification activities;

c) matters affecting impartiality and confidence in certification, including openness?

*NOTE 1 Other tasks or duties (e.g. taking part in the decision-making process) can be assigned to the mechanism, provided these additional tasks or duties do not compromise its essential role of ensuring impartiality.*

*NOTE 2 A possible mechanism can be a committee established by one or more certification bodies, a committee implemented by a scheme owner, a governmental authority or an equivalent party.*

*NOTE 3 A single mechanism for several certification schemes can satisfy this requirement.*

*NOTE 4 If the certification body also provides management systems certification, a committee that fulfills ISO/IEC 17021:2011, 6.2, can also fulfill this subclause (5.2) providing that all the requirements of 5.2 have been met.*

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**5.2.2** Is the mechanism formally documented to ensure the following:

a) a balanced representation of significantly interested parties, such that no single interest predominates (internal or external personnel of the certification body is considered to be a single interest, and shall not predominate);

b) access to all the information necessary to enable it to fulfill all its functions?

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| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**5.2.3** Does the mechanism have the right to take independent action (e.g. informing authorities, accreditation bodies, stakeholders) if the top management of the certification body does not follow the input of this mechanism? Are the confidentiality requirements of 4.5 relating to the client and certification body respected in taking appropriate action?

Is the input that is in conflict with the operating procedures of the certification body or other mandatory requirements not followed?

Does management document the reasoning behind the decision to not follow the input and maintain the document for review by appropriate personnel?

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**5.2.4** Did a certification body identify and invite significantly interested parties (although every interest cannot be represented in the mechanism)?

*NOTE 1 Such interested parties can include clients of the certification body, customers of clients, manufacturers, suppliers, users, conformity assessment experts, representatives of industry trade associations, representatives of governmental regulatory bodies or other governmental services, and representatives of non-governmental organizations, including consumer organizations. It can be sufficient to have one representative of each interested party in the mechanism.*

*NOTE 2 These interests can be limited, depending on the nature of the certification scheme.*

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**6 Resource requirements**

**6.1 Certification body personnel**

**6.1.1 General**

**6.1.1.1** Does the certification body employ, or have access to, a sufficient number of personnel to cover its operations related to the certification schemes and to the applicable standards and other normative documents?

*NOTE The personnel includes those normally working for the certification body, as well as persons working under an individual contract or a formal agreement that places them within the management control and systems/procedures of the certification body (see 6.1.3).*

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**6.1.1.2** Are the personnel competent for the functions they perform, including making required technical judgments, defining policies and implementing them?

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**6.1.1.3** Do personnel, including any committee members, personnel of external bodies, or personnel acting on the certification body's behalf, keep confidential all information obtained or created during the performance of the certification activities, except as required by law or by the certification scheme?

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| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**6.1.2 Management of competence for personnel involved in the certification process**

**6.1.2.1** Did the certification body establish, implement and maintain a procedure for management of competencies of personnel involved in the certification process (see Clause 7)?

Does the procedure require the certification body to:

a) determine the criteria for the competence of personnel for each function in the certification process, taking into account the requirements of the schemes;

b) identify training needs and provide, as necessary, training programmes on certification processes, requirements, methodologies, activities and other relevant certification scheme requirements;

c) demonstrate that the personnel have the required competencies for the duties and responsibilities they undertake;

d) formally authorize personnel for functions in the certification process;

e) monitor the performance of the personnel?

|  |  |  |  |
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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**6.1.2.2** Does the certification body maintain the following records on the personnel involved in the certification process (see Clause 7):

a) name and address;

b) employer(s) and position held;

c) educational qualification and professional status;

d) experience and training;

e) the assessment of competence;

f) performance monitoring;

g) authorizations held within the certification body;

h) date of most recent updating of each record?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**6.1.3 Contract with the personnel**

Does the certification body require personnel involved in the certification process to sign a contract or other document by which they commit themselves to the following:

a) to comply with the rules defined by the certification body, including those relating to confidentiality (see 4.5) and independence from commercial and other interests;

b) to declare any prior and/or present association on their own part, or on the part of their employer, with:

1) a supplier or designer of products, or

2) a provider or developer of services, or

3) an operator or developer of processes to the evaluation or certification of which they are

to be assigned;

c) to reveal any situation known to them that may present them or the certification body with a conflict of interest (see 4.2)?

Do certification bodies use this information as input into identifying risks to impartiality raised by the activities of such personnel, or by the organizations that employ them (see 4.2.3)?

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| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**6.2 Resources for evaluation**

**6.2.1 Internal resources**

Does it meet the applicable requirements of the relevant International Standards and, as specified by the certification scheme, or other documents when a certification body performs evaluation activities, either with its internal resources or with other resources under its direct control?

For testing, does it meet the applicable requirements of ISO/IEC 17025; for inspection does it meet the applicable requirements of ISO/IEC 17020; and for management system auditing, does it meet the applicable requirements of ISO/IEC 17021? Are the impartiality requirements of the evaluation personnel stipulated in the relevant standard always be applicable?

*NOTE Examples of reasons as to why some requirements are not applicable include the following:*

*– expertise is available within the certification body when using the results of the evaluation activity;*

*– the extent of control the certification body has over testing (including witnessing the testing), inspection (e.g. specifying inspection methods or parameters) or management system assessment (e.g. requiring specific details of a management system);*

*– a particular requirement is covered in an equivalent way by this International Standard or is not needed to give confidence in the certification decision.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**6.2.2 External resources (outsourcing)**

**6.2.2.1** Does the certification body outsource evaluation activities only to bodies that meet the applicable requirements of the relevant International Standards and, as specified by the certification scheme, or other documents? For testing, does it meet the applicable requirements of ISO/IEC 17025; for inspection, does it meet the applicable requirements of ISO/IEC 17020; and for management system auditing, does it meet the applicable requirements of ISO/IEC 17021? Are the impartiality requirements of the evaluation personnel stipulated in

the relevant standard always applicable?

*NOTE 1 Examples of reasons as to why some requirements are not applicable include the following:*

*– expertise is available within the certification body when using the results of the evaluation activity;*

*– the extent of control the certification body has over testing (including witnessing the testing), inspection (e.g. specifying inspection methods or parameters) or management system assessment (e.g. requiring specific details of a management system);*

*– a particular requirement is covered in an equivalent way by this International Standard or is not needed to give confidence in the certification decision.*

*NOTE 2 This can include outsourcing to other certification bodies. Use of external personnel under contract is not outsourcing.*

*NOTE 3 For the purposes of this International Standard, the terms “outsourcing” and “subcontracting” are considered to be synonyms.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**6.2.2.2** Does the certification body ensure that the evaluation activities are managed in a manner which provides confidence in the results and that records are available to justify the confidence where evaluation activities are outsourced to non-independent bodies (e.g. client laboratories)?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**6.2.2.3** Does the certification body have a legally binding contract with the body that provides the outsourced service, including provisions for confidentiality and conflict of interest as specified in 6.1.3, item c)?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**6.2.2.4** Does the certification body:

a) take responsibility for all activities outsourced to another body;

b) ensure that the body that provides outsourced services, and the personnel that it uses, are not involved, either directly or through any other employer, in such a way that the credibility of the results could be compromised;

c) have documented policies, procedures, and records for the qualification, assessing and monitoring of all bodies that provide outsourced services used for certification activities;

d) maintain a list of approved providers of outsourced services;

e) implement corrective actions for any breaches of the contract in 6.2.2.3 or other requirements in 6.2.2 of which it becomes aware;

f) inform the client in advance of outsourcing activities, in order to provide the client with an opportunity to object?

*NOTE If the qualification, assessing and monitoring of the bodies that provide outsourced services are performed by other organizations (e.g. by accreditation bodies, peer assessment bodies or governmental authorities), the certification body can take this qualification and monitoring into account provided that:*

*– it is provided for within the scheme requirements;*

*– the scope is applicable to the work being undertaken;*

*– the validity of the qualification, assessing and monitoring arrangements is verified at a periodicity determined by the certification body.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7 Process requirements**

**7.1 General**

**7.1.1** Does the certification body operate one or more certification scheme(s) covering its certification activities?

*NOTE 1 The elements of such schemes can be coupled with surveillance of production, or with the assessment and surveillance of the client's management system, or both.*

*NOTE 2 General guidance on the development of schemes is given in ISO/IEC 17067, in combination with ISO/IEC Guide 28 and ISO/IEC Guide 53.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.1.2** Are the requirements against which the products of a client are evaluated those contained in specified standards and other normative documents?

*NOTE Guidance for developing normative documents suitable for this purpose is contained in ISO/IEC 17007.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.1.3** If explanations are required as to the application of these documents (see 7.1.2) for a specific certification scheme are they formulated by relevant and impartial persons or committees, possessing the necessary technical competence and are they made available by the certification body upon request?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.2 Application**

For an application, does the certification body obtain all the necessary information to complete the certification process in accordance with the relevant certification scheme?

*NOTE 1 The following are examples of necessary information:*

*– the product(s) to be certified;*

*– the standards and/or other normative documents for which the client is seeking certification (see 7.1.2);*

*– the general features of the client, including its name and the address(es) of its physical location(s), significant aspects of its process and operations (if required by the relevant certification scheme), and any relevant legal obligations;*

*– general information concerning the client, relevant to the field of certification for which the application is made, such as the client's activities, its human and technical resources, including laboratories and/or inspection facilities, and its functions and relationship in a larger corporation, if any;*

*– information concerning all outsourced processes used by the client that will affect conformity to requirements; if the client has identified a legal entity/entities for producing the certified product(s) that is different from the client, then the certification body can establish appropriate contractual controls over the legal entity/entities concerned, if necessary for effective surveillance; if such contractual controls are needed, they can be established prior to providing formal certification documentation (see 7.7);*

*– all other information needed in accordance with the relevant certification requirements, such as information for initial evaluation and surveillance activities, e.g. the locations where the certified product(s) are produced and contact personnel at these locations.*

*NOTE 2 A variety of media and mechanisms can be used to collect this information at various times, including an application form. Such information gathering can be in conjunction with or separate from, the completion of the legally binding agreement (the certification agreement) specified in 4.1.2.*

*NOTE 3 Application for an extension of the certification scope could involve similar products, different locations, etc.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.3 Application review**

**7.3.1** Does the certification body conduct a review of the information obtained (see 7.2) to ensure that:

a) the information about the client and the product is sufficient for the conduct of the certification process;

b) any known difference in understanding between the certification body and the client is resolved, including agreement regarding standards or other normative documents;

c) the scope of certification (see 3.10) sought is defined;

d) the means are available to perform all evaluation activities;

e) the certification body has the competence and capability to perform the certification activity?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.3.2** Does the certification body have a process to identify when the client's request for certification includes:

– a type of product, or

– a normative document, or

– a certification scheme

with which the certification body has no prior experience?

*NOTE Products can be considered to be of the same type when the knowledge of the requirements, characteristics, and technology related to one product is sufficient to understand the requirements, characteristics, and technology of another product.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.3.3** Does the certification body ensure it has the competence and capability for all the certification activities it is required to undertake and does it maintain a record of the justification for the decision to undertake certification in these cases (see 7.3.2)?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.3.4** Does the certification body decline to undertake a specific certification if it lacks any competence or capability for the certification activities it is required to undertake?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.3.5** Does the certification body reference the existing certification(s) in its records if the certification body relies on certifications it has already granted to the client or has already granted to other clients, to omit any activities?

Does the certification body provide justification for omission of activities if requested by the client?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.4 Evaluation**

**7.4.1** Does the certification body have a plan for the evaluation activities to allow for the necessary arrangements to be managed?

*NOTE Depending on the characteristics of the certification scheme and the product requirements, the plan can be either a generic plan applicable to all activities, including evaluation of the quality management system, when applicable, or a specific one for a particular activity, or a combination of both.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.4.2** Does the certification body assign personnel to perform each evaluation task that it undertakes with its internal resources (see 6.2.1)?

*NOTE Outsourced tasks are completed by personnel usually assigned by the organization to which the task is outsourced. Such personnel is not normally assigned by the certification body.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.4.3** Does the certification body ensure all necessary information and/or documentation is made available for performing the evaluation tasks?

*NOTE The evaluation tasks can include activities such as design and documentation review, sampling, testing, inspection, and audit.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.4.4** Does the certification body carry out the evaluation activities that it undertakes with its internal resources (see 6.2.1) and does it manage outsourced resources (see 6.2.2) in accordance with the evaluation plan (see 7.4.1)?

Are the products evaluated against the requirements covered by the scope of certification and other requirements specified in the certification scheme?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.4.5** Does the certification body only rely on evaluation results related to certification completed prior to the application for certification, where it takes responsibility for the results and satisfies itself that the body that performed the evaluation fulfills the requirements contained in 6.2.2 and those specified by the certification scheme?

*NOTE This can include work carried out under-recognition agreements between certification bodies.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.4.6** Does the certification body inform the client of all nonconformities?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.4.7** Does the certification body provide information regarding the additional evaluation tasks needed to verify that nonconformities have been corrected if one or more nonconformities have arisen and if the client expresses interest in continuing the certification process?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.4.8** Is the process specified in 7.4 repeated to complete the additional evaluation tasks if the client agrees to completion of the additional evaluation tasks?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.4.9** Are the results of all evaluation activities documented prior to review (see 7.5)?

*NOTE 1 This documentation can provide an opinion as to whether product requirements (including requirements such as those for the quality management system under which the product is produced if required by the certification scheme) have been fulfilled.*

*NOTE 2 The certification scheme can indicate whether the evaluation is performed by the certification body, under its responsibility, or is performed prior to the application (see 7.2) for the certification process. In the latter case, the requirements of 7.4 are not applicable.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.5 Review**

**7.5.1** Does the certification body assign at least one person to review all information and results related to the evaluation?

Is the review carried out by person(s) who have not been involved in the evaluation process?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.5.2** Are recommendations for a certification decision based on the review documented unless the review and the certification decision are completed concurrently by the same person?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.6 Certification decision**

**7.6.1** Is the certification body responsible for and shall retain authority for, its decisions relating to certification?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.6.2** Does the certification body assign at least one person to make the certification decision based on all information related to the evaluation, its review, and any other relevant information?

Is the certification decision carried out by a person or group of persons [e.g. a committee (see 5.1.4)] that has not been involved in the process for evaluation (see 7.4)?

*NOTE The review and the certification decision can be completed concurrently by the same person or group of persons.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.6.3** Are the person(s) [excluding members of committees (see 5.1.4)] assigned by the certification body to make a certification decision employed by, or under contract with, one of the following:

– the certification body (see 6.1);

– an entity under the organizational control of the certification body (see 7.6.4)?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.6.4** Is a certification body’s organizational control one of the following:

– whole or majority ownership of another entity by the certification body;

– majority participation by the certification body on the board of directors of another entity;

– a documented authority by the certification body over another entity in a network of legal entities (in which the certification body resides), linked by ownership or board of director control?

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

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.6.5** Does the persons employed by, or under contract with, entities under organizational control fulfill the same requirements of this International Standard as persons employed by, or under contract with, the certification body?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.6.6** Does the certification body notify the client of a decision not to grant certification, and does identify the reasons for the decision?

*NOTE If the client expresses interest in continuing the certification process, the certification body can resume the process for evaluation from 7.4.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.7 Certification documentation**

**7.7.1** Does the certification body provide the client with formal certification documentation that clearly conveys, or permits identification of the following:

a) the name and address of the certification body;

b) the date certification is granted (the date shall not precede the date on which the certification decision was completed);

c) the name and address of the client;

d) the scope of certification (see 3.10);

*NOTE Where the standard(s) or another normative document(s) (see 7.1.2) to which conformity is being certified include reference to other standards or normative documents, these do not need to be included in the formal certification documentation.*

e) the term or expiry date of certification if certification expires after an established period;

f) any other information required by the certification scheme?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.7.2** Does the formal certification documentation include the signature or other defined authorization of the person(s) of the certification body assigned such responsibility?

*NOTE The name and title of an individual whose agreement to be responsible for certification documentation are on record at the certification body is an example of a “defined authorization” other than a signature.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.7.3** Is formal certification documentation (see 7.7) only issued after, or concurrent with, the following:

a) the decision to grant or extend the scope of certification (see 7.6.1) has been made;

b) certification requirements have been fulfilled;

c) the certification agreement (see 4.1.2) has been completed/signed?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.8 Directory of certified products**

Does the certification body maintain information on certified products which contains at least the following:

a) identification of the product;

b) the standard(s) and another normative document (s) to which conformity has been certified;

c) identification of the client?

Are the parts of this information that need to be published or made available upon request in a directory (through publications, electronic media or other means) stipulated by the relevant scheme(s)?

Does the certification body provide information, as a minimum, upon the request, about the validity of a given certification?

*NOTE Where the certification body provides the information to a scheme, the scheme directory would satisfy this requirement.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.9 Surveillance**

**7.9.1** Does the certification body initiate surveillance of the product(s) covered by the certification decision in accordance with the certification scheme if surveillance is required by the certification scheme, or as specified in 7.9.3 or 7.9.4?

*NOTE 1 ISO/IEC 17067 provides examples of surveillance activities in certification schemes.*

*NOTE 2 The criteria and process for surveillance activities are defined by each certification scheme.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.9.2** Are the requirements in 7.4, 7.5 or 7.6, respectively, fulfilled when surveillance utilizes evaluation, review or a certification decision?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.9.3** Is surveillance established and does it include periodic surveillance of marked products to ensure ongoing validity of the demonstration of fulfilment of product requirements when continuing use of a certification mark is authorized for placement on a product (or its packaging, or information accompanying it) (for process or service, see 7.9.4) of a type which has been certified?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.9.4** When continuing use of a certification mark is authorized for a process or service, is surveillance established and does it include periodic surveillance activities to ensure ongoing validity of the demonstration of the fulfillment of process or service requirements?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.10 Changes affecting certification**

**7.10.1** Does the certification body ensure these changes are communicated to all clients when the certification scheme introduces new or revised requirements that affect the client?

Does the certification body verify the implementation of the changes by its clients and does take actions required by the scheme?

*NOTE Contractual arrangements with clients can 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 given in ISO/IEC Guide 28:2004, Annex E.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.10.2** Does the certification body consider other changes affecting certification, including changes initiated by the client, and decide upon the appropriate action?

*NOTE Changes affecting certification can include new information related to the fulfillment of certification requirements obtained by the certification body after certification has been established.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.10.3** Does the actions to implement changes affecting certification include if required, the following:

– evaluation (see 7.4);

– review (see 7.5);

– decision (see 7.6);

– issuance of revised formal certification documentation (see 7.7) to extend or reduce the scope of certification;

– issuance of certification documentation of revised surveillance activities (if surveillance is part of the certification scheme).

Are these actions completed in accordance with applicable parts of 7.4, 7.5, 7.6, 7.7 and 7.8?

Do records (see 7.12) include the rationale for excluding any of the above activities (e.g. when a certification requirement that is not a product requirement changes, and no evaluation, review or decision activities are necessary)?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.11 Termination, reduction, suspension or withdrawal of certification**

**7.11.1** Does the certification body consider and decide upon the appropriate action when a nonconformity with certification requirements is substantiated, either as a result of surveillance or otherwise?

*NOTE Appropriate action can include the following:*

*a) continuation of certification under conditions specified by the certification body (e.g. increased surveillance);*

*b) reduction in the scope of certification to remove nonconforming product variants;*

*c) suspension of the certification pending remedial action by the client;*

*d) withdrawal of the certification.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.11.2** Are the requirements in 7.4, 7.5 or 7.6, respectively, fulfilled when the appropriate action includes evaluation, review or a certification decision?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.11.3** If certification is terminated (by request of the client), suspended or withdrawn, does the certification body take actions specified by the certification scheme and does it make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure it provides no indication that the product continues to be certified?

If a scope of certification is reduced, does the certification body take actions specified by the certification scheme and does it make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure the reduced scope of certification is clearly communicated to the client and clearly specified in certification documentation and public information?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.11.4** If certification is suspended, does the certification body assign one or more persons to formulate and communicate the following to the client:

– actions needed to end suspension and restore certification for the product(s) in accordance with the certification scheme;

– any other actions required by the certification scheme?

Are these persons competent in their knowledge and understanding of all aspects of the handling of suspended certifications (see 6.1)?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.11.5** Are any evaluations, reviews or decisions needed to resolve the suspension, or that are required by the certification scheme, completed in accordance with the applicable parts of 7.4, 7.5, 7.6, 7.7.3, 7.9 and 7.11.3?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.11.6** If certification is reinstated after suspension, does the certification body make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure all appropriate indications exist that the product continues to be certified?

If a decision to reduce the scope of certification is made as a condition of reinstatement, does the certification body make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure the reduced scope of certification is clearly communicated to the client and clearly specified in certification documentation and public information?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.12 Records**

**7.12.1** Does the certification body retain records to demonstrate that all certification process requirements (those in this International Standard and those of the certification scheme) have been effectively fulfilled (see also 8.4)?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.12.2** Does the certification body keep records confidential?

Are records transported, transmitted and transferred in a way that ensures confidentiality is maintained (see also 4.5)?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.12.3** If the certification scheme involves a complete re-evaluation of the product(s) within a determined cycle, are records retained at least for the current and the previous cycle? Otherwise, are records retained for a period defined by the certification body?

*NOTE In defining retention times, legal circumstances and recognition arrangements can be considered.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.13 Complaints and appeals**

**7.13.1** Does the certification body have a documented process to receive, evaluate and make decisions on complaints and appeals?

Does the certification body record and track complaints and appeals, as well as actions undertaken to resolve them?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.13.2** Upon receipt of a complaint or appeal, does the certification body confirm whether the complaint or appeal relates to certification activities for which it is responsible and, if so, does it address it?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.13.3** Does the certification body acknowledge receipt of a formal complaint or appeal?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.13.4** Is the certification body responsible for gathering and verifying all necessary information (as far as possible) to progress the complaint or appeal to a decision?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.13.5** Are the decision resolving the complaint or appeal made by, or reviewed and approved by, the person(s) not involved in the certification activities related to the complaint or appeal?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.13.6** To ensure that there is no conflict of interest, are personnel (including those acting in a managerial capacity) who have provided consultancy (see 3.2) for a client, or been employed by a client, not used by the certification body to review or approve the resolution of a complaint or appeal for that client within two years following the end of the consultancy or employment?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.13.7** Whenever possible, does the certification body give formal notice of the outcome and the end of the complaint process to the complainant?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.13.8** Does the certification body give formal notice of the outcome and the end of the appeal process to the appellant?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**7.13.9** Does the certification body take any subsequent action needed to resolve the complaint or appeal?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8 Management system requirements**

**8.1 Options**

**8.1.1 General**

Did the certification body establish and maintain a management system that is capable of achieving the consistent fulfillment of the requirements of this International Standard in accordance with either Option A or Option B?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.1.2 Option A**

Does the management system of the certification body address the following:

– general management system documentation (e.g. manual, policies, the definition of responsibilities, see 8.2);

– control of documents (see 8.3);

– control of records (see 8.4);

– management review (see 8.5);

– internal audit (see 8.6);

– corrective actions (see 8.7);

– preventive actions (see 8.8).

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.1.3 Option B**

Did the certification body establish and does it maintain 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 this International Standard, fulfills the management system clause requirements (see 8.2 to 8.8)?

NOTE Option B is included to enable a certification body which operates a management system in accordance with ISO 9001 to use that system to demonstrate fulfillment of the management system requirements in 8.2 to 8.8 of this International Standard. Option B does not require that the certification body's management system is certified to ISO 9001.

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.2 General management system documentation (Option A)**

**8.2.1** Does the certification body's top management establish, document, and maintain policies and objectives for the fulfillment of this International Standard and the certification scheme?

Does it ensure the policies?

Are objectives acknowledged and implemented at all levels of the certification body’s organization?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.2.2** Does the certification body's top management provide evidence of its commitment to the development and implementation of the management system and its effectiveness in achieving consistent fulfillment of this International Standard?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.2.3** Did the certification body's top management appoint a member of management who, irrespective of other responsibilities, have responsibility and authority that includes the following:

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?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.2.4** Are all documentation, processes, systems, records, etc. related to the fulfillment of the requirements of this International Standard included, referenced, or linked to the documentation of the management system?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.2.5** Do all personnel involved in certification activities have access to the parts of the management system documentation and related information that are applicable to their responsibilities?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.3 Control of documents (Option A)**

**8.3.1** Did the certification body establish procedures to control the documents (internal and external) that relate to the fulfillment of this International Standard?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.3.2** Do the procedures define the controls needed to:

a) approve documents for adequacy prior to issue;

b) review and update (as necessary) and re-approve documents;

c) ensure that changes and the current revision status of documents are identified;

d) ensure that relevant versions of applicable documents are available at points of use;

e) ensure that documents remain legible and readily identifiable;

f) ensure that documents of external origin are identified and their distribution controlled;

g) prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose?

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

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.4 Control of records (Option A)**

**8.4.1** Did the certification body establish procedures to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of its records related to the fulfillment of this International Standard?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.4.2** Did the certification body establish procedures for retaining records (see 7.12) for a period consistent with its contractual and legal obligations?

Is access to these records consistent with the confidentiality arrangements?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.5 Management review (Option A)**

**8.5.1 General**

**8.5.1.1** Did the certification body'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 fulfillment of this International Standard?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.5.1.2** Are these reviews conducted at least once a year?

Alternatively, was a complete review broken up into segments completed within a 12-month time frame?

Are records of reviews maintained?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.5.2 Review inputs**

Do the inputs to the management review include information related to the following:

a) results of internal and external audits;

b) feedback from clients and interested parties related to the fulfillment of this International Standard;

NOTE Interested parties can include scheme owners.

c) feedback from the mechanism for safeguarding impartiality;

d) the status of preventive and corrective actions;

e) follow-up actions from previous management reviews;

f) the fulfillment of objectives;

g) changes that could affect the management system;

h) appeals and complaints?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.5.3 Review outputs**

Do the outputs from the management review include decisions and actions related to the following:

a) improvement of the effectiveness of the management system and its processes;

b) improvement of the certification body related to the fulfillment of this International Standard;

c) resource needs?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.6 Internal audits (Option A)**

**8.6.1** Did the certification body establish procedures for internal audits to verify that it fulfills 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.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.6.2** 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?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.6.3** Are internal audits performed at least once every 12 months, or completed within a 12-month time frame for segmented (or rolling) internal audits?

Is a documented decision-making process followed to change (reduce or restore) the frequency of internal audits or the time frame in which internal audits shall be completed?

Are such changes based on the relative stability and ongoing effectiveness of the management system?

Are records of decisions to change the frequency of internal audits, or the time frame in which they will be completed, including the rationale for the change, maintained?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.6.4** Did the certification body ensure that:

a) internal audits are conducted by personnel knowledgeable in certification, auditing and the requirements of this International Standard;

b) auditors do not audit their own work;

c) personnel responsible for the area audited are informed of the outcome of the audit;

d) any actions resulting from internal audits are taken in a timely and appropriate manner;

e) any opportunities for improvement are identified?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.7 Corrective actions (Option A)**

**8.7.1** Did the certification body establish procedures for identification and management of nonconformities in its operations?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.7.2** Did the certification body also, where necessary, take actions to eliminate the causes of nonconformities in order to prevent recurrence?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.7.3** Were corrective actions appropriate to the impact of the problems encountered?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.7.4** Do the procedures for corrective actions define requirements for the following:

a) identifying nonconformities (e.g. from complaints and internal audits);

b) determining the causes of nonconformity;

c) correcting nonconformities;

d) evaluating the need for actions to ensure that nonconformities do not recur;

e) determining and implementing the actions needed in a timely manner;

f) recording the results of actions taken;

g) reviewing the effectiveness of corrective actions?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**8.8 Preventive actions (Option A)**

**8.8.1** Did the certification body establish procedures for taking preventive actions to eliminate the causes of potential nonconformities.

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

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

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

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

a) identifying potential nonconformities and their causes;

b) evaluating the need for action to prevent the occurrence of nonconformities;

c) determining and implementing the action needed;

d) recording the results of actions taken;

e) reviewing the effectiveness of the preventive actions taken?

*NOTE The procedures for corrective and preventive actions do not necessarily have to be separate.*

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

**EPA**

1. **Compliance Requirements for the certification body‘s that Certify Composite Wood Products**
	1. Is the certification body accredited by an EPA TSCA Title VI Product accreditation body to ISO/IEC 17065:2012(E) with a scope of accreditation that includes include composite wood products and 40 CFR part 770—Formaldehyde Standards for Composite Wood Products?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Does the certification body have the ability to conduct inspections of composite wood products in conformance with ISO/IEC 17020:2012(E) as required under ISO/IEC 17065:2012(E) Section 6.2.1.?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Does the certification body train and supervise inspectors to inspect composite wood products in conformance with ISO/IEC 17020:2012(E) as required under ISO/IEC 17065:2012(E) Section 6.2.1.?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Did the certification body demonstrate experience in the composite wood product industry with at least one type of composite wood product and indicated the specific product(s) the applicant intends to certify?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

1. **Application**
	1. Does the certification body submit an application and renew that application every two years via EPA CDX to be recognized by EPA under the EPA program?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

1. **Commitment to Impartiality**
	1. Isn’t the certification body, or doesn’t it have a financial interest in, a panel producer, fabricator, laminated product producer, importer, designer, distributor or retailer of composite wood products?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Does the certification body ensure that management personnel and personnel involved in the review and certification decision-making process for composite wood products are not involved in activities within the same or separate legal entity that may compromise the impartiality of its certification decision-making process, such as advocacy or consulting activities?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Does the certification body ensure that management personnel and personnel of the same or separate legal entity involved in activities such as advocacy or consulting are not involved in the management of the certification body, the review, or the certification decisions?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Does the certification body ensure that management personnel and personnel certifying composite wood products sign a conflict of interest statement attesting that they will receive no financial benefit from the outcome of certification?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

1. **Evaluation**
	1. Does the certification body verify that each panel producer has adequate quality assurance and quality control procedures and is complying with the applicable quality assurance and quality control requirements?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Does the certification body verify each panel producer’s quality control test results compared with test results from ASTM E1333–10 and ASTM D6007-02, if used, by having the TPC (third party certification) laboratory conduct quarterly tests and evaluate test method equivalence and correlation as required under 40 CFR §770.20?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Does the certification body establish quality control limits (QCLs) for formaldehyde emissions in consultation with the panel producer, and, if applicable, shipping quality control limits or other formaldehyde emission limits, for each panel producer and product type?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Does the certification body establish the process that will be used to determine if products are exceeding the applicable QCL for each panel producer?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Does the certification body provide its CARB or EPA TPC number to each panel producer for labeling and recordkeeping?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Does the certification body inspect each panel producer, its products, and its records at least quarterly in conformance with ISO/IEC 17020:2012(E) as required under ISO/IEC 17065:2012(E) Section 6.2.1?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Does the certification body review applications for NAF (no-added formaldehyde-based) or ULEF (ultra low-emitting formaldehyde) third-party certification exemptions or ULEF reduced testing for panel producers that do not receive approval for NAF or ULEF third-party certification exemptions or ULEF reduced testing from CARB? Are the applications, for which requirements met, approved within 90 calendar days of receipt?

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Does the certification body review applications from panel producers to reduce the number of quality control tests for particleboard and medium-density fiberboard (MDF)? Are the applications, for which requirements met, approved within 90 calendar days of receipt?

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

1. **Notifications**
	1. Did the certification body provide notification of an approved or rejected application, including a renewal application, for a NAF or ULEF third-party certification exemption or ULEF reduced testing within five calendar days of the approval or rejection with copies of all approved applications forwarded to EPA within 30 calendar days of approval?

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Did the certification body provide notification of an approved or rejected application, including a renewal application, for reduced testing for medium-density fiberboard or particleboard within five calendar days of the approval or rejection with copies of all approved applications forwarded to EPA within 30 calendar days of approval?

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Did the certification body provide notification of a panel producer exceeding its established QCL for more than two consecutive quality control tests within 72 hours of the time that the certification body becomes aware of the second exceedance?

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. The notice above must include the product type, dates of the quality control tests that exceeded the QCL, quality control test results, ASTM E1333-10 (incorporated by reference, see § 770.99) correlative equivalent values, the established QCL value(s) and the quality control method used.

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Did the certification body provide notification of each failed quarterly test, that is any sample that exceeds the applicable formaldehyde emission standard in § 770.10, within 72 hours?

Information in this notification is not eligible for treatment as confidential business information.

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Did the certification body provide notification of a change in a non-domestic the certification body’s agent for service within five calendar days?

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Did the certification body provide notification of each failed quarterly test, that is any sample that exceeds the applicable formaldehyde emission standard in § 770.10, to the panel producer in writing within 72 hours?

Information in this notification is not eligible for treatment as confidential business information.

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Did the certification body provide notification of a loss of accreditation or notification that the certification body has discontinued its participation in the EPA TSCA Title VI Third-Party Certification Program within 72 hours to all panel producers for which it provides EPA TSCA Title VI certification services?

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Did the certification body provide notification of any changes in personnel qualifications, procedures, or laboratories used, to the certification body’s accreditation body within 30 calendar days?

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Does the certification body maintain, in electronic form, the following records for three years from the date the record is created, and provide them to EPA within 30 calendar days of a request from EPA:

- a list of panel producers and their respective products and product types, including the type of resin systems used, that the EPA TSCA Title VI TPC has certified;

- results of inspections and formaldehyde emissions tests conducted for and linked to each panel producer and product type;

- a list of laboratories used by the EPA TSCA Title VI TPC, as well as all test methods used, including test conditions and conditioning time, and quarterly test results;

- methods and results for establishing test method correlations and equivalence;

- documentation for NAF or ULEF third-party certification exemptions or ULEF reduced testing approvals, including the name of the panel producer, facility, products approved, type of resin systems used and dates of approval;

- documentation of reduced testing approval for panel producers of medium-density fiberboard or particleboard, including the name of the panel producer, products approved and dates of approval; and

- a copy of the most recent assessment, reassessment, and/or surveillance on-site assessment report provided by its EPA TSCA Title VI accreditation body(ies)?

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Does the certification body provide, in accordance with § 770.8, an annual report on or before March 1st of each year for the certification body services performed during the previous calendar year?

Quarterly test results, the test method, date of test, and product tested (including the product name or description and panel producer name) are not eligible for treatment as confidential business information.

The report must contain all of the following elements, as applicable:

- the following information for each panel producer making composite wood products certified by the TPC, the EPA TSCA Title VI TPC:

(1) Composite wood products that the EPA TSCA Title VI TPC has certified during the previous calendar year;

(2) Types of resin systems used for the composite wood products certified;

(3) Dates of quarterly inspections;

(4) For each quarterly test, the date, result, test method, and whether a contract laboratory was used;

(5) For each failed quarterly test, the product type, the volume of product affected, the results of recertification testing, and a description of the final disposition of the affected product, including how the non-complying lot was addressed;

(6) For each non-complying lot resulting from a failed quality control test, the test date, method, product type, volume of product affected, lot numbers, the results of retesting, and a description of the final disposition of the affected product, including how the non-complying lot was addressed; and

(7) Any corrective actions that resulted from quarterly tests and inspections.

- a list of laboratories and test methods used by the certification body, number and volume (cubic meters) of large and small chambers, date of equivalence determination and equivalence data.

- any non-conformities identified by its EPA TSCA Title VI accreditation body(ies) and how they were addressed.

- the results compared with the mean of the interlaboratory comparison for all formaldehyde emissions interlaboratory comparison tests other than the CARB interlaboratory comparison or, if available, the results of an EPA-recognized proficiency testing program.

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |

* 1. Did the certification body allow EPA representatives to:

- accompany the certification body 's staff during an assessment, reassessment or surveillance on-site assessment of the certification body by its accreditation body; and

- inspect the certification body 's facilities, at reasonable times, within reasonable limits, and in a reasonable manner, upon the presentation of appropriate credentials and a written notification to the certification body?

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| [ ]  **YES** | [ ]  **NO** | [ ]  **Not completely** | [ ]  **Not applicable** |
| **Nonconformity identification:** |
| **Comments:** |
| **Note:** |