

รายการตรวจประเมินหน่วยรับรองบุคลากร
(ISO/IEC17024:2012)

Clause	Requirement	Comment	Finding
4	General requirements		
4.1	Legal matters		
	Is the certification body a legal entity, or a defined part of a legal entity, such that it can be held legally responsible for its certification activities? <i>(A governmental certification body is deemed to be a legal entity on the basis of its governmental status.)</i>		
4.2	Responsibility for decision on certification		
	Is/Does the certification body responsible for, retain authority for, and not delegate, its decisions relating to certification, including the granting, maintaining, recertifying, expanding and reducing the scope of the certification, and suspending or withdrawing the certification?		
4.3	Management of impartiality		
4.3.1	Does the certification body document its structure, policies and procedures to manage impartiality and to ensure that the certification activities are undertaken impartially? Does the certification body's top management commit to impartiality in certification activities? Does the certification body have a statement publicly accessible without request that it understands the importance of impartiality in carrying out its certification activities, manages conflict of interest and ensures the objectivity of its certification activities?		
4.3.2	Does the certification body act impartially in relation to its applicants, candidates and certified persons?		
4.3.3	Are the policies and procedures for certification of persons fair among all applicants, candidates and certified person?		
4.3.4	Is the certification restricted on the grounds of undue financial or other limiting conditions, such as membership of an association or group ? Does the certification body use procedures to unfairly impede or inhibit access by applicants and candidates?		

Clause	Requirement	Comment	Finding
4.3.5	Is/Does the certification body responsible for the impartiality of its certification activities and allow commercial, financial or other pressures to compromise impartiality?		
4.3.6	Does the certification body identify threats to its impartiality on an ongoing basis?		
	Do the threats include those that arise from its activities, from its related bodies, from its relationships, or from the relationships of its personnel?		
	However, such relationships do not necessarily present a body with a threat to impartiality.		
	<i>NOTE 1 A relationship that threatens the impartiality of the 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 applicants, etc.</i>		
	<i>NOTE 2 Threats to impartiality can be either actual or perceived.</i>		
	<i>NOTE 3 A related body is one which is linked to the certification body by common ownership, in whole or part, and has common members of the board of directors, contractual arrangements, common names, common staff, informal understanding or other means, such that the related body has a vested interest in any certification decision or has a potential ability to influence the process.</i>		
4.3.7	Does the certification body analyse, document and eliminate or minimize the potential conflict of interests arising from its certification activities?		
	Does/Is the certification body document and able to demonstrate how it eliminates, minimizes or manages such threats?		
	Does the analysis cover all potential sources of conflict of interest that are identified, whether they arise from within the certification body, such as assigning responsibilities to personnel, or from the activities of other persons, bodies or organizations?		
4.3.8	Are the certification activities structured and managed so as to safeguard impartiality?		
	Does it include balanced involvement of interested parties?		

Clause	Requirement	Comment	Finding
4.4	Finance and liability		
	Does the certification body have the financial resources necessary for the operation of a certification process and have adequate arrangements (e.g. insurance or reserves) to cover associated liabilities?		
5	Structural requirements		
5.1	Management and organization structure		
5.1.1	Are the certification activities structured and managed so as to safeguard impartiality?		
5.1.2	Does the certification body document its organizational structure, describing the duties, responsibilities and authorities of management, certification personnel and any committee?		
	Does the documentation of the organizational 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?		
	Is/Are the party/parties or individuals responsible for the following identified:		
a)	policies and procedures relating to the operation of the certification body;		
b)	implementation of the policies and procedures;		
c)	finances of the certification body;		
d)	resources for certification activities;		
e)	development and maintenance of the certification schemes;		
f)	assessment activities;		
g)	decisions on certification, including the granting, maintaining, recertifying, expanding, reducing, suspending or withdrawing of the certification;		
h)	contractual arrangements?		
5.2	Structure of the certification body in relation to training		
5.2.1	Completion of training may be a specified requirement of a certification scheme. Does the recognition/approval of training by the certification body compromise impartiality or reduce the assessment and certification requirements?		

Clause	Requirement	Comment	Finding
5.2.2	Does the certification body provide information regarding education and training if they are used as pre-requisites for being eligible for certification?		
	Does the certification body state or imply that certification would be simpler, easier or less expensive if any specified education/training services are used?		
5.2.3	Offering training and certification for persons within the same legal entity constitutes a threat to impartiality. Does the certification body that is part of a legal entity offering training		
	a) identify and document the associated threats to its impartiality on an ongoing basis and have a documented process to demonstrate how it eliminates or minimizes those threats;		
	b) demonstrate that all processes performed by the certification body are independent of training to ensure that confidentiality, information security and impartiality are not compromised;		
	c) not give the impression that the use of both services would provide any advantage to the applicant;		
	d) not require the candidates to complete the certification body's own education or training as an exclusive prerequisite when alternative education or training with an equivalent outcome exists;		
	e) ensure that personnel do not serve as an examiner of a specific candidate they have trained for a period of two years from the date of the conclusion of the training activities? This interval may be shortened if the certification body demonstrates it does not compromise impartiality.		
6	Resource requirements		
6.1	General personnel requirements		
6.1.1	Does/Is the certification body manage and responsible for the performance of all personnel involved in the certification process?		
6.1.2	Does the certification body have sufficient personnel available with the necessary competence to perform certification functions relating to the type, range and volume of work performed?		

Clause	Requirement	Comment	Finding
6.1.3	Does the certification body define the competence requirements for personnel involved in the certification process?		
	Do the personnel have competence for their specific tasks and responsibilities?		
6.1.4	Does the certification body provide its personnel with documented instructions describing their duties and responsibilities?		
	Are these instructions kept up-to-date?		
6.1.5	Does the certification body maintain up-to-date personnel records, including relevant information, e.g. qualifications, training, experience, professional affiliations, professional status, competence and known conflicts of interest?		
6.1.6	Do the personnel acting on the certification body's behalf keep confidential all information obtained or created during the performance of the body's certification activities, except as required by law or where authorized by the applicant, candidate or certified person?		
6.1.7	Does the certification body require its personnel to sign a document by which they commit themselves to comply with the rules defined by the certification body, including those relating to confidentiality, impartiality and conflict of interests?		
	<i>NOTE Where permitted by law, other methods, including electronic signature, are acceptable.</i>		
6.1.8	Does the certification body adopt procedures to maintain impartiality when it certifies a person it employs?		
6.2	Personnel involved in the certification activities		
6.2.1	General		
	Does the certification body require its personnel to declare any potential conflict of interest in any candidate?		
6.2.2	Requirements for examiners		
6.2.2.1	Do the examiners meet the requirements of the certification body?		

Clause	Requirement	Comment	Finding
	Do the selection and approval processes ensure that examiners		
a)	understand the relevant certification scheme;		
b)	are able to apply the examination procedures and documents;		
c)	have competence in the field to be examined;		
d)	are fluent, both in writing and orally, in the language of examination and in circumstances where an interpreter or a translator is used, does the certification body have procedures in place to ensure that it does not affect the validity of the examination;		
e)	have identified any known conflicts of interest to ensure impartial judgements are made?		
6.2.2.2	Does the certification body monitor the performance of the examiners and the reliability of the examiners' judgements?		
	Does the certification body take corrective actions where deficiencies are found?		
	<i>NOTE Monitoring procedures for examiners can include, for example, on-site observation, review of examiners' reports, feedback from candidates.</i>		
6.2.2.3	Does the certification body undertake and record measures to ensure that the confidentiality and impartiality of the examination are not compromised if an examiner has a potential conflict of interest in the examination of a candidate?		
6.2.3	Requirements for other personnel involved in the assessment		
6.2.3.1	Does the certification body have a documented description of the responsibilities and qualifications of other personnel involved in the assessment process (e.g. invigilators) ?		
6.2.3.2	Does the certification body undertake and record measures to ensure that confidentiality and impartiality of the examination is not compromised if other personnel involved in the assessment have a potential conflict of interest in the examination of a candidate?		

Clause	Requirement	Comment	Finding
6.3	Outsourcing		
6.3.1	Does the certification body have a legally enforceable agreement covering the arrangements, including confidentiality and conflict of interests, with each body that provides outsourced work related to the certification process?		
	<i>NOTE For the purposes of this International Standard, the terms "outsourcing" and "subcontracting" are considered to be synonyms.</i>		
6.3.2	Does the certification body:		
a)	take full responsibility for all outsourced work;		
b)	ensure that the body conducting outsourced work is competent and complies with the applicable provisions of this International Standard;		
c)	assess and monitor the performance of the bodies conducting outsourced work in accordance with its documented procedures;		
d)	have records to demonstrate that the bodies conducting outsourced work meet all requirements relevant to the outsourced work;		
e)	maintain a list of the bodies conducting outsourced work?		
6.4	Other resources		
	Does the certification body use adequate premises, including examination sites, equipment and resources for carrying out its certification activities?		
7	Records and information requirements		
7.1	Records of applicants, candidates and certified persons		
7.1.1	Does the certification body maintain records?		
	Do the records include a means to confirm the status of a certified person?		
	Do the records demonstrate that the certification or recertification process has been effectively fulfilled, particularly with respect to application forms, assessment reports (which include examination records) and other documents relating to granting, maintaining, recertifying, expanding and reducing the scope, and suspending or withdrawing certification?		

Clause	Requirement	Comment	Finding
7.1.2	Are the records identified, managed and disposed of in such a way as to ensure the integrity of the process and the confidentiality of the information and kept for an appropriate period of time, for a minimum of one full certification cycle, or as required by recognition arrangements, contractual, legal or other obligations?		
7.1.3	Does the certification body have enforceable arrangements to require that the certified person informs the certification body, without delay, of matters that can affect the capability of the certified person to continue to fulfil the certification requirements?		
7.2	Public information		
7.2.1	Does the certification body verify and provide information, upon request, as to whether an individual holds a current, valid certification and the scope of that certification, except where the law requires such information not to be disclosed?		
7.2.2	Does the certification body make publicly available without request information regarding the scope of the certification scheme and a general description of the certification process?		
7.2.3	Are all pre-requisites of the certification scheme listed?		
	Is the list made publicly available without request?		
7.2.4	Is information provided by the certification body, including advertising, accurate and not misleading?		
7.3	Confidentiality		
7.3.1	Does the certification body establish documented policies and procedures for the maintenance and release of information?		
7.3.2	Does the certification body, through legally enforceable agreements, keep confidential all information obtained during the certification process?		
	Do these agreements cover all personnel?		
7.3.3	Does the certification body ensure that information obtained during the certification process, or from sources other than the applicant, candidate or certified person, is not disclosed to an unauthorized party without the written consent of the individual		

Clause	Requirement	Comment	Finding
	(applicant, candidate or certified person), except where the law requires such information to be disclosed?		
7.3.4	Is the person concerned, unless prohibited by law, notified as to what information will be provided when the certification body is required by law to release confidential information?		
7.3.5	Does the certification body ensure that the activities of related bodies do not compromise confidentiality?		
7.4	Security		
7.4.1	Does the certification body develop and document policies and procedures necessary to ensure security throughout the entire certification process?		
	Does the certification body have measures in place to take corrective actions when security breaches occur?		
7.4.2	Do the security policies and procedures include provisions to ensure the security of examination materials, taking into account		
	a) the locations of the materials (e.g. transportation, electronic delivery, disposal, storage, examination centre);		
	b) the nature of the materials (e.g. electronic, paper, test equipment);		
	c) the steps in the examination process (e.g. development, administration, results reporting);		
	d) the threats arising from repeated use of examination materials?		
7.4.3	Does the certification body prevent fraudulent examination practices by		
	a) requiring candidates to sign a non-disclosure agreement or other agreement indicating their commitment not to release confidential examination materials or participate in fraudulent test-taking practices;		
	b) requiring an invigilator or examiner to be present;		
	c) confirming the identity of the candidate;		
	d) implementing procedures to prevent any unauthorized aids from being brought into the examination area;		
	e) preventing candidates from gaining access to unauthorized aids during the examination;		

Clause	Requirement	Comment	Finding
f)	monitoring examination results for indications of cheating?		
8	Certification schemes		
8.1	Is there a certification scheme for each category of certification?		
8.2	Does a certification scheme contain		
a)	scope of certification;		
b)	job and task description;		
c)	required competence;		
d)	abilities (when applicable);		
e)	prerequisites (when applicable);		
f)	code of conduct (when applicable) ?		
	<i>NOTE 1 A code of conduct describes the ethical or personal behaviour required by the scheme.</i>		
	<i>NOTE 2 Abilities can include physical capabilities such as vision, hearing and mobility.</i>		
8.3	Does a certification scheme include the following certification process requirements		
a)	criteria for initial certification and recertification;		
b)	assessment methods for initial certification and recertification;		
c)	surveillance methods and criteria (if applicable);		
d)	criteria for suspending and withdrawing certification;		
e)	criteria for changing the scope or level of certification (if applicable)?		
8.4	Does the certification body have documents to demonstrate that, in the development and review of the certification scheme, the following are included		
a)	the involvement of appropriate experts;		
b)	the use of an appropriate structure that fairly represents the interests of all parties significantly concerned, without any interest predominating;		
c)	the identification and alignment of prerequisites, if applicable, with the competence requirements;		
d)	the identification and alignment of the assessment mechanisms with the competence requirements		
e)	a job or practice analysis that is conducted and updated to		

Clause	Requirement	Comment	Finding
	--identify the tasks for successful performance		
	--identify the required competence for each task		
	--identify prerequisites (if applicable)		
	-- confirm the assessment mechanisms and examination content		
	--identify the re-certification requirements and interval?		
	<i>NOTE Where the certification scheme has been developed by an entity other than the certification body, the job or practice analysis might already be available as part of that work. In this case, the certification body can obtain details from the scheme documentation for verification.</i>		
8.5	Does the certification body ensure that the certification scheme is reviewed and validated on an on-going, systematic basis?		
8.6	Does the certification body ensure that the requirements contained in this clause (Clause 8) are met when the certification body is not the scheme owner of a certification scheme it implements?		
9	Certification process requirements		
9.1	Application process		
9.1.1	Does the certification body, upon application, make available an overview of the certification process in accordance with the certification scheme?		
	Does the overview include as a minimum the requirements for certification and its scope, a description of the assessment process, the applicant's rights, the duties of a certified person and the fees?		
9.1.2	Does the certification body require the completion of an application, signed by the applicant seeking certification, which includes as a minimum the following		
a)	information required to identify the applicant, such as name, address and other information required by the certification scheme;		
b)	the scope of the desired certification;		
c)	a statement that the applicant agrees to comply with the certification requirements and to supply any information needed for the assessment;		

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d)	any supporting information to demonstrate objectively compliance with the scheme prerequisites;		
e)	notice to the applicant of his/her opportunity to declare, within reason, a request for accommodation of special needs (see 9.2.5)?		
	<i>NOTE Where permitted by law, other methods, including electronic signature, are acceptable.</i>		
9.1.3	Does the certification body review the application to confirm that the applicant complies with the application requirements of the certification scheme?		
9.2	Assessment process		
9.2.1	Does the certification body implement the specific assessment methods and mechanisms as defined in the certification scheme?		
9.2.2	Does the certification body document and make publicly accessible without request the specific methods and mechanisms required to verify that certified persons comply with changed requirements when there is a change in the certification scheme which requires additional assessment?		
	<i>NOTE Recertification can be used to achieve this verification.</i>		
9.2.3	Is the assessment planned and structured in a manner which ensures that the scheme requirements are objectively and systematically verified with documented evidence to confirm the competence of the candidate?		
9.2.4	Does the certification body verify the methods for assessing candidates?		
	Does the verification ensure that each assessment is fair and valid?		
9.2.5	Does the certification body verify and accommodate special needs, within reason and where the integrity of the assessment is not violated, taking into account national regulation [see 9.1.2 e] ?		
9.2.6	Does the certification body have appropriate reports, data and records to demonstrate that the results are equivalent to, and conform with, the requirements established by the certification scheme where it takes into account work performed by another body?		

Clause	Requirement	Comment	Finding
9.3	Examination process		
9.3.1	Are the examinations designed to assess competence based on, and consistent with, the scheme, by written, oral, practical, observational or other reliable and objective means?		
	Does the design of examination requirements ensure the comparability of results of each single examination, both in content and difficulty, including the validity of fail/pass decisions?		
9.3.2	Does the certification body have procedures to ensure a consistent examination administration?		
9.3.3	Are criteria for conditions for administering examinations established, documented and monitored?		
	<i>NOTE Conditions can include lighting, temperature, separation of candidates, noise, candidate safety, etc.</i>		
9.3.4	Is the technical equipment verified or calibrated where appropriate when it is used in the examination process?		
9.3.5	Are appropriate methodology and procedures (e.g. collecting and maintaining statistical data) documented and implemented in order to reaffirm, at justified defined intervals, the fairness, validity, reliability and general performance of each examination?		
	Are all identified deficiencies corrected?		
9.4	Decision on certification		
9.4.1	Is the information gathered during the certification process sufficient		
a)	for the certification body to make a decision on certification;		
b)	for traceability in the event, for example, of an appeal or a complaint?		
9.4.2	Are decisions for granting, maintaining, recertifying, extending, reducing, suspending or withdrawing certification outsourced?		
9.4.3	Does the certification body confine its decision on certification to those matters specifically related to the requirements of the certification scheme?		
9.4.4	Is the decision on certification of a candidate made solely by the certification body on the basis of the information gathered during the certification process?		

Clause	Requirement	Comment	Finding
	Have personnel who make the decision on certification participated in the examination or training of the candidate?		
9.4.5	Do the personnel who make certification decisions have sufficient knowledge of and experience with the certification process to determine if the certification requirements have been met?		
9.4.6	Is the certification not granted until all certification requirements are fulfilled?		
9.4.7	Does the certification body provide a certificate to all certified persons?		
	Does the certification body maintain sole ownership of the certificates?		
	Does the certificate take the form of a letter, card or other medium, signed or authorized by a responsible member of the personnel of the certification body?		
9.4.8	Do the certificates contain, as a minimum, the following information		
a)	the name of the certified person;		
b)	a unique identification;		
c)	the name of the certification body;		
d)	a reference to the certification scheme, standard or other relevant documents, including issue date, if relevant;		
e)	the scope of the certification including, if applicable, validity conditions and limitations;		
f)	the effective date of certification and date of expiry?		
9.4.9	Is the certificate designed to reduce the risks of counterfeiting?		
9.5	Suspending, withdrawing or reducing the scope of certification		
9.5.1	Does the certification body have a policy and (a) documented procedure(s) for suspension or withdrawal of the certification, or reduction of the scope of certification, which shall specify the subsequent actions by the certification body?		

Clause	Requirement	Comment	Finding
9.5.2	Does the failure to resolve the issues that have resulted in the suspension, in a time established by the certification body, result in withdrawal of the certification or reduction of the scope of certification?		
9.5.3	Does the certification body have enforceable arrangements with the certified person to ensure that, in the event of suspension of certification, the certified person refrains from further promotion of the certification while it is suspended?		
9.5.4	Does the certification body have enforceable arrangements with the certified person to ensure that, in the event of withdrawal of certification, the certified person refrains from use of all references to a certified status?		
9.6	Recertification process		
9.6.1	Does the certification body have (a) documented procedure(s) for implementation of the recertification process, in accordance with the certification scheme requirements?		
9.6.2	Does the certification body ensure during the recertification process that it confirms continued competence of the certified person and ongoing compliance with current scheme requirements by the certified person?		
9.6.3	Is the recertification period based upon the scheme requirements?		
	Does the rationale for the recertification period take into account, where relevant, the following		
	a) regulatory requirements;		
	b) changes to normative documents;		
	c) changes in the relevant scheme requirements;		
	d) the nature and maturity of the industry or field in which the certified person is working;		
	e) the risks resulting from an incompetent person;		
	f) ongoing changes in technology, and requirements for certified persons;		
	g) requirements of interested parties;		
h) the frequency and content of surveillance activities, if required by the scheme?			

Clause	Requirement	Comment	Finding
9.6.4	Is/Are the selected recertification activity/activities adequate to ensure that there is impartial assessment to confirm the continuing competence of the certified person?		
9.6.5	Does the recertification by the certification body, in accordance with the certification scheme, consider at least the following		
a)	on-site assessment;		
b)	professional development;		
c)	structured interviews;		
d)	confirmation of continuing satisfactory work and work experience records;		
e)	examination;		
f)	checks on physical capability in relation to the competence concerned?		
	<i>NOTE "Physical capability" can require an evaluation by a health professional, or by a professional qualified to evaluate physical skills such as dexterity, strength and endurance, as well as the technical performance skills required for the certification.</i>		
9.7	Use of certificates, logos and marks		
9.7.1	Does a certification body that provides a certification mark or logo document the conditions for use and appropriately manage the rights for usage and representation?		
	<i>NOTE ISO/IEC 17030 provides requirements for use of third-party marks.</i>		
9.7.2	Does the certification body require that a certified person signs an agreement for the following reasons		
a)	to comply with the relevant provisions of the certification scheme;		
b)	to make claims regarding certification only with respect to the scope for which certification has been granted;		
c)	not to use the certification in such a manner as to bring the certification body into disrepute, and not to make any statement regarding the certification which the certification body considers misleading or unauthorized;		
d)	to discontinue the use of all claims to certification that contain any reference to the certification body or certification upon suspension or withdrawal of certification, and to return any certificates issued by the		

Clause	Requirement	Comment	Finding
e)	certification body;		
	not to use the certificate in a misleading manner?		
	<i>NOTE Where permitted by law, other methods, including electronic signature, are acceptable.</i>		
9.7.3	Does a certification body address, by means of corrective measures, any misuse of its certification mark or logo?		
9.8	Appeals against decisions on certification		
9.8.1	Does the certification body have a documented process to receive, evaluate and make decisions on appeals?		
	Does the appeals-handling process include at least the following elements and methods		
	a) the process for receiving, validating and investigating the appeal, and for deciding what actions are to be taken in response to it, taking into account the results of previous similar appeals;		
	b) tracking and recording appeals, including actions undertaken to resolve them;		
	c) ensuring that, if applicable, appropriate corrections and corrective actions are taken?		
9.8.2	Do the policies and procedures ensure that all appeals are dealt with in a constructive, impartial and timely manner?		
9.8.3	Is a description of the appeals-handling process publicly accessible without request?		
9.8.4	Is the certification body responsible for all decisions at all levels of the appeals-handling process?		
	Does the certification body ensure that the decision-making personnel engaged in the appeals-handling process are different from those who were involved in the decision being appealed?		
9.8.5	Do submission, investigation and decision on appeals not result in any discriminatory actions against the appellant?		
9.8.6	Does the certification body acknowledge receipt of the appeal and provide the appellant with progress reports and the outcome?		
9.8.7	Does the certification body give formal notice to the		

Clause	Requirement	Comment	Finding
	appellant of the end of the appeals-handling process?		
9.9	Complaints		
9.9.1	Does the certification body have a documented process to receive, evaluate and make decisions on complaints?		
9.9.2	Is a description of the complaints-handling process accessible without request?		
	Do the procedures treat all parties fairly and equitably?		
9.9.3	Do the policies and procedures ensure that all complaints are handled and processed in a constructive, impartial and timely manner?		
	Does the complaints-handling process include at least the following elements and methods		
	a) an outline of the process for receiving, validating, investigating the complaint and deciding what actions are to be taken in response to it;		
	b) tracking and recording complaints, including actions undertaken in response to them;		
	c) ensuring that, if applicable, appropriate corrections and corrective actions are taken?		
9.9.4	Does the certification body, upon receipt of a complaint, confirm whether the complaint relates to certification activities for which it is responsible?		
	Does the certification body respond to it accordingly?		
9.9.5	Does the certification body, whenever possible, acknowledge receipt of the complaint and provide the complainant with progress reports and the outcome?		
9.9.6	Is the certification body receiving the complaint responsible for gathering and verifying all necessary information to validate the complaint?		
9.9.7	Does the certification body, whenever possible, give formal notice of the end of the complaints-handling process to the complainant?		
9.9.8	Is any substantiated complaint about a certified person referred by the certification body to the certified person in question at an appropriate time?		
9.9.9	Is the complaints-handling process subject to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint?		

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9.9.10	Is the decision to be communicated to the complainant made by, or reviewed and approved by, personnel not previously involved in the subject of the complaint?		
10	Management system requirements		
10.1	General		
	Does the certification body establish, document, implement and maintain a management system that is capable of supporting and demonstrating the consistent achievement of the requirements of this International Standard?		
	Does the certification body, in addition to meeting the requirements of Clauses 4 to 9, implement a management system in accordance with either option A or option B, as follows		
	-option A: a general management system which fulfils the requirements of 10.2		
	- option B: a body that has established and maintains a management system, in accordance with the requirements of ISO 9001, and that is capable of supporting and demonstrating the consistent fulfilment of the requirements of this International Standard (ISO/IEC 17024), fulfils the management system requirements of 10.2?		
10.2	General management system requirements		
10.2.1	General		
	Does the certification body establish, document, implement and maintain a management system that is capable of supporting and demonstrating the consistent achievement of the requirements of this International Standard?		
	Does the certification body's top management establish and document policies and objectives for its activities?		
	Does the top management provide evidence of its commitment to the development and implementation of the management system in accordance with the requirements of this International Standard?		
	Does the top management ensure that the policies are understood, implemented and maintained at all levels		

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	of the certification body's organization?		
	Does the certification body's top management appoint a member of management who, irrespective of other responsibilities, shall have responsibility and authority that include		
a)	ensuring that processes and procedures needed for the management system are established, implemented and maintained;		
b)	reporting to top management on the performance of the management system and any need for improvement?		
10.2.2	Management system documentation		
	Are applicable requirements of this International Standard documented?		
	Does the certification body ensure that the management system documentation is provided to all relevant personnel?		
10.2.3	Control of documents		
	Does the certification body establish procedures to control the documents (internal and external) that relate to the fulfilment of this International Standard?		
	Do the procedures define the controls needed to		
a)	approve documents for adequacy prior to issue;		
b)	review and update as necessary and re-approve documents;		
c)	ensure that changes and the current revision status of documents are identified;		
d)	ensure that relevant versions of applicable documents are provided at points of use;		
e)	ensure that documents remain legible and readily identifiable;		
f)	ensure that documents of external origin are identified and their distribution controlled;		
g)	prevent the unintended use of obsolete documents and apply suitable identification if they are retained for any purpose?		
	<i>NOTE Documentation can be in any form or type of medium</i>		
10.2.4	Control of records		
	Does the certification body establish procedures to		

Clause	Requirement	Comment	Finding
	define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of its records related to the fulfilment of this International Standard?		
	Does the certification body establish procedures for retaining records for a period consistent with its contractual and legal obligations?		
	Is access to these records consistent with the confidentiality arrangements?		
	<i>NOTE For requirements for records on applicants, candidates and certified persons, see also 7.1.</i>		
10.2.5	Management review		
10.2.5.1	General		
	Does 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 fulfilment of this International Standard?		
	Are these reviews conducted at least once every 12 months and documented?		
10.2.5.2	Review input		
	Does the input to the management review include information related to the following		
a)	results of internal and external audits (e.g. accreditation body assessment);		
b)	feedback from applicants, candidates, certified persons and interested parties related to the fulfilment of this International Standard;		
c)	safeguarding impartiality;		
d)	the status of preventive and corrective actions;		
e)	follow-up actions from previous management reviews;		
f)	the fulfilment of objectives;		
g)	changes that could affect the management system;		
h)	appeals and complaints?		
10.2.5.3	Review output		
	Does the output from the management review include as a minimum decisions and actions related to the following		

Clause	Requirement	Comment	Finding
a)	improvement of the effectiveness of the management system and its processes;		
b)	improvement of the certification services related to the fulfilment of this International Standard;		
c)	resource needs?		
10.2.6	Internal audits		
10.2.6.1	Does the certification body establish procedures for internal audits to verify that it fulfils the requirements of this International Standard and that the management system is effectively implemented and maintained? <i>NOTE ISO 19011 provides guidelines for conducting internal audits.</i>		
10.2.6.2	Is an audit programme planned, taking into consideration the importance of the processes and areas to be audited, as well as the results of previous audits?		
10.2.6.3	Are internal audits performed at least once every 12 months? The frequency of internal audits may be reduced if the certification body demonstrates that its management system continues to be effectively implemented in accordance with this International Standard and has proven stability.		
10.2.6.4	Does the certification body ensure that		
a)	internal audits are conducted by competent personnel, knowledgeable in the certification process, 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?		
10.2.7	Corrective actions		
	Does the certification body establish (a) procedure(s) for identification and management of nonconformities in its operations?		
	Does the certification body, where necessary, take		

Clause	Requirement	Comment	Finding
	actions to eliminate the causes of nonconformities in order to prevent recurrence?		
	Are corrective actions appropriate to the impact of the problems encountered?		
	Do the procedures define requirements for the following		
a)	identifying nonconformities;		
b)	determining the causes of 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?		
10.2.8	Preventive actions		
	Does the certification body establish (a) procedure(s) for taking preventive actions to eliminate the causes of potential nonconformities?		
	Are preventive actions taken appropriate to the probable impact of the potential problems?		
	Do the procedures for preventive actions define requirements for the following		
a)	identifying potential nonconformities and their causes;		
b)	evaluating the need for action to prevent the occurrence of nonconformities;		
c)	determining and implementing the action needed;		
d)	recording the results of actions taken;		
e)	reviewing the effectiveness of the preventive actions taken?		
	<i>NOTE The procedures for corrective and preventive actions do not necessarily have to be separate.</i>		