

**IECEE**

**CB-SCHEME**

**OD-CB2016-Ed.1.1**

**OPERATIONAL & RULING DOCUMENTS**

**CHECK LIST FOR PRODUCT CERTIFICATION  
BODIES**

**OD-CB2016-Ed.1.1**

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## CHECK LIST FOR PRODUCT CERTIFICATION BODIES

This check list is based on ISO/IEC Guide 65:1997 (E) with equivalent numbering.  
The introduction clauses 1, 2 and 3 of the Guide are left out.

Edition 1.1, 2004-11-25

**Certification body concerned:** (name, address etc.)

Date of completion:

Completed by:

**Please specify the language of the following documents:**

Document	Language
Quality Manual	
Quality procedures	
Working Instructions	

Please note: If the language of these documents is not English, at least the Index and Headings must be in English

**Legend:** Status: **Y** = YES      **N** = NO      **N/A** = Not applicable  
Doc. ref.: Document reference of the relevant Certification body document

#### 4 CERTIFICATION BODY

4.1 General provisions			
Item		Status	Doc. ref. / Remarks
4.1.1	<p>Are the policies and procedures under which the certification body operates and their administration non-discriminatory and administered in a non-discriminatory manner?</p> <p>Do the procedures used impede or inhibit access by applicants, other than as provided for in ISO/IEC Guide 65?</p>		
4.1.2	<p>Does the certification body make its services accessible to all applicants whose activities fall within its declared field of operation?</p> <p>Are there undue financial or other conditions?</p> <p>Is access conditional upon the size of the supplier or membership of any association or group?</p> <p>Is certification conditional upon the number of certificates already Issued?</p>		
4.1.3	<p>Are the certification criteria against which the products of a supplier are evaluated those outlined in specified standards?</p> <p>If explanation is required as to the application of these documents for a specific certification system, is this formulated by relevant and impartial committees or persons possessing the necessary technical competence, and published by the certification body?</p>		
4.1.4	<p>Does the certification body confine its requirements, evaluation and decision on certification to those matters specifically related to the scope of the certification being considered?</p>		
4.2 Organization of the certification body			
	<p>Is the structure of the certification body such as to foster confidence in its certifications?</p> <p>In particular, the certification body:</p> <p>a) is impartial?</p> <p>b) is responsible for all decisions relating to its granting, maintaining, extending, suspending and withdrawal of certification?</p> <p>c) identifies the management (committee, group or person) which shall have overall responsibility for all of the following:</p> <ol style="list-style-type: none"> <li>1) performance of testing, inspection, evaluation and certification as defined in ISO/IEC Guide 65?</li> <li>2) formulation of policy matters relating to the operation of the certification body?</li> <li>3) decisions on certification?</li> <li>4) supervision of the implementation of its policies?</li> <li>5) supervision of the finances of the body?</li> </ol>		

4.2 Organization of the certification body (cont.)			
Item		Status	Doc. ref. / Remarks
	<p>6) delegation of authority to committees or individuals as required to undertake defined activities on its behalf?</p> <p>7) technical basis for granting certification?</p> <p>d) has documents which demonstrate it is a legal entity?</p> <p>e) has a documented structure which safeguards impartiality including provisions to ensure the impartiality of the operations of the certification body?</p> <p>does this structure enable the participation of all parties significantly concerned in the development of policies and principles regarding the content and functioning of the certification system?</p> <p>f) ensures that each decision on certification is taken by a person(s) different from those who carried out the evaluation?</p> <p>g) has rights and responsibilities relevant to its certification activities?</p> <p>h) has adequate arrangements to cover liabilities arising from its operations and/or activities?</p> <p>i) has the financial stability and resources required for the operation of a certification system?</p> <p>j) employs a sufficient number of personnel having the necessary education, training, technical knowledge and experience for performing certification functions relating to the type, range and volume of work performed, under a responsible senior executive?</p> <p>k) has a quality system giving confidence in its ability to operate a certification system for products?</p> <p>l) has policies and procedures that distinguish between product certification and any other activities in which the certification body is engaged?</p> <p>m) together with its senior executive and staff, is free from any commercial, financial and other pressures which might influence the results of the certification process?</p> <p>n) has formal rules and structures for the appointment of and operation of any committees which are involved in the certification process?</p> <p>are such committees free from any commercial, financial and other pressures that might influence decisions?</p> <p>is the structure where members are chosen so as to provide a balance of interests where no single interest predominates will be deemed to satisfy this provision?</p> <p>o) ensures that activities of related bodies do not affect the confidentiality, objectivity and impartiality of its certifications?</p> <p>and does not:</p> <p>1) supply or design products of the type it certifies?</p> <p>2) give advice or provide consultancy services to the applicant as to methods of dealing with matters which are barriers to the certification requested?</p> <p>3) provide any other products or services which could compromise the confidentiality, objectivity or impartiality of its certification process and decisions?</p> <p>p) has policies and procedures for the resolution of complaints, appeals and disputes received from suppliers or other parties about the handling of certification or any other related matters?</p>		

<b>4.3 Operations</b>		
Item	Status	Doc. ref. / Remarks
<p>Does the certification body take all steps necessary to evaluate conformance with the relevant product standards according to the requirements of specific product certification system? (see clause 3 of ISO/IEC Guide 65)</p> <p>Does the certification body specify the relevant standards or parts thereof and any other requirements such as sampling, testing and inspection requirements which form the basis for the applicable certification system?</p> <p>In conducting its certification operations, does the certification body observe, as appropriate, the requirements for the suitability and competence of body(ies) or person(s) carrying out testing, inspection and certification/registration as specified in ISO/IEC Guides 25, 39 and 62?</p>		
<b>4.4 Subcontracting</b>		
<p>When a certification body decides to subcontract work related to certification (e.g. testing or inspection) to an external body or person, is a properly documented agreement covering the arrangements including confidentiality and conflict of interests drawn up? Does the certification body:</p> <p>a) take full responsibility for such subcontracted work and maintain its responsibility for granting, maintaining, extending, suspending or withdrawing certification?</p> <p>b) ensure that the subcontracted body or person is competent and complies with the applicable provisions of ISO/IEC Guide 65 and other standards and guides relevant to testing, inspection or other technical activities (see clause 2), and is not involved either directly or through the person's employer with design or production of the product in such a way that impartiality would be compromised?</p> <p>c) obtain the applicant's consent?</p> <p>Notes: cfr. ISO/IEC Guide 65, 4.4</p>		
<b>4.5 Quality system</b>		
4.5.1		
<p>Has the management of the certification body, having executive responsibility for quality, defined and documented its policy for quality and its objectives for, and commitment to, quality?</p> <p>Does the management ensure that this policy is understood, implemented and maintained at all levels of the organization?</p>		
4.5.2		
<p>Does the certification body operate an effective quality system in accordance with the relevant elements of ISO/IEC Guide 65 and appropriate for the type, range and volume of work performed?</p> <p>Is this quality system documented and is the documentation available for use by the certification body staff?</p> <p>Does the certification body ensure effective implementation of the documented quality system procedures and instructions?</p> <p>Has the certification body designated a person having direct access to its highest executive level who, irrespective of other responsibilities, shall have defined authority for:</p> <p>a) ensuring that a quality system is established, implemented and maintained in accordance with ISO/IEC Guide 65?</p> <p>b) reporting on the performance of the quality system to the body's management for review and as a basis for improvement of the quality system?</p>		

<b>4.2 Quality system (contd.)</b>			
Item		Status	Doc. ref. / Remarks
4.5.3	<p>Is the quality system documented in a quality manual and associated quality procedures, and does the manual contain or refer to at least the following:</p> <p>a) a quality policy statement?</p> <p>b) a brief description of the legal status of the certification body, including the names of its owners and, if different, names of the persons who control it?</p> <p>c) the names, qualifications, experience and terms of reference of the senior executive and other certification personnel, both internal and external?</p> <p>d) an organization chart showing lines of authority, responsibility and allocation of functions stemming from the senior executive?</p> <p>e) a description of the organization of the certification body, including details of the management (committee, group or person) identified in 4.2 c), its constitution, terms of reference and rules of procedure?</p> <p>f) the policy and procedures for conducting management reviews?</p> <p>g) administrative procedures including document control?</p> <p>h) the operational and functional duties and services pertaining to quality, so that the extent and limits of each person's responsibility are known to all concerned?</p> <p>i) the procedure for recruitment, selection and training of certification body personnel and monitoring of their performance?</p> <p>j) a list of its approved subcontractors and the procedures for assessing, recording and monitoring their competence?</p> <p>k) its procedures for handling nonconformity and for assuring the effectiveness of any corrective and preventive actions taken?</p> <p>l) the procedures for evaluating products and implementing the certification process, including:</p> <p>1) the conditions for issue, retention and withdrawal of certification documents?</p> <p>2) controls over the use and application of documents employed in the certification of products?</p> <p>m) the policy and procedure for dealing with appeals, complaints and disputes?</p> <p>n) its procedures for conducting internal audits, based on the provisions of ISO 10011-1?</p>		
<b>4.6</b>	<b>Conditions and procedures for granting, maintaining, extending, suspending and withdrawing certification</b>		
4.6.1	<p>Does the certification body specify the conditions for granting, maintaining and extending certification and the conditions under which certification may be suspended or withdrawn, partially or in total?</p>		

<b>4.6 Conditions and procedures for granting, maintaining, extending, suspending and withdrawing certification (cont.)</b>			
Item		Status	Doc. ref. / Remarks
4.6.2	<p>Does the certification body have procedures to:</p> <p>a) grant, maintain, withdraw and, if applicable, suspend certification?</p> <p>b) extend or reduce the scope of certification?</p> <p>c) re-evaluate, in the event of changes significantly affecting the product's design or specification, or changes in the standards to which compliance of the product is certified, or changes in the ownership, structure or management of the supplier, if relevant, or in the case of any other information indicating that the product may no longer comply with the requirements of the certification system?</p>		
<b>4.7 Internal audits and management reviews</b>			
4.7.1	<p>Does the certification body conduct periodic internal audits covering all procedures in a planned and systematic manner, to verify that the quality system is implemented and is effective?</p> <p>Does the certification body ensure that:</p> <p>a) personnel responsible for the area audited are informed of the outcome of the audit?</p> <p>b) corrective action is taken in a timely and appropriate manner?</p> <p>c) the results of the audit are documented?</p>		
4.7.2	<p>Does the body's management with executive responsibility review its quality system at defined intervals which are sufficiently short to ensure its continuing suitability and effectiveness in satisfying the requirements of ISO/IEC Guide 65 and the stated quality policy and objectives?</p> <p>Are records of such reviews maintained?</p>		
<b>4.8 Documentation</b>			
4.8.1	<p>Does the certification body provide (through publications, electronic media or other means), update at regular intervals, and make available on request the following:</p> <p>a) information about the authority under which the certification body operates?</p> <p>b) a documented statement of its product certification system, including its rules and procedures for granting, maintaining, extending, suspending and withdrawing certification?</p> <p>c) information about the evaluation procedures and certification process related to each product certification system?</p> <p>d) a description of the means by which the organization obtains financial support and general information on the fees charged to applicants and suppliers of certified products?</p> <p>e) a description of the rights and duties of applicants and suppliers of certified products, including requirements, restrictions or limitations on the use of the certification body's logo and on the ways of referring to the certification granted?</p> <p>f) information about procedures for handling complaints, appeals and disputes?</p> <p>g) a directory of certified products and their suppliers? the certification granted? information about procedures for handling complaints, appeals and disputes?</p> <p>a directory of certified products and their suppliers?</p>		

<b>4.8 Documentation (cont.)</b>			
Item		Status	Doc. ref. / Remarks
4.8.2	<p>Does the certification body establish and maintain procedures to control all documents and data that relate to its certification functions?</p> <p>Are these documents reviewed and approved for adequacy by appropriately authorized and competent personnel prior to issuing any documents following initial development or any subsequent amendment or change being made?</p> <p>Is a listing of all appropriate documents with the respective issue and/or amendment status identified maintained?</p> <p>Is the distribution of all such documents controlled to ensure that the appropriate documentation is made available to personnel of the certification body or suppliers when they are required to perform any function relating to the certification body's activities?</p>		
<b>4.9 Records</b>			
4.9.1	<p>Does the certification body maintain a record system to suit its particular circumstances and to comply with existing regulations?</p> <p>Do the records demonstrate that the certification procedures have been effectively fulfilled, particularly with respect to application forms, evaluation reports, surveillance activities and other documents relating to granting, maintaining, extending, suspending or withdrawing certification?</p> <p>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?</p> <p>Are the records kept for a period of time so that continued confidence may be demonstrated for at least one full certification cycle, or as required by law?</p>		
4.9.2	<p>Does the certification body have a policy and procedures for retaining records for a period consistent with its contractual, legal or other obligations?</p> <p>Does the certification body have a policy and procedures concerning access to these records consistent with 4.10.1 of ISO/IEC Guide 65?</p> <p><u>Note:</u> cfr. ISO/IEC Guide 65, 4.9.2</p>		
<b>4.10 Confidentiality</b>			
4.10.1	Does the certification body have adequate arrangements consistent with applicable laws to safeguard confidentiality of the information obtained in the course of its certification activities at all levels of its organization, including committees and external bodies or individuals acting on its behalf?		
4.10.2	<p>Except as required in ISO/IEC Guide 65 or by law, is information gained in the course of certification activities about a particular product or supplier disclosed to a third-party without the written consent of the supplier?</p> <p>Where the law requires information to be disclosed to a third-party, is the supplier informed of the information provided as permitted by the law?</p>		

**CHECK LIST FOR PRODUCT CERTIFICATION BODIES****5 CERTIFICATION BODY PERSONNEL**

<b>5.1 General</b>			
Item		Status	Doc. ref. / Remarks
5.1.1	Is the personnel of the certification body competent for the functions they perform, including making required technical judgments, framing policies and implementing them?		
5.1.2	Are clearly documented instructions available to the personnel describing their duties and responsibilities?  Are these instructions maintained up to date?		
<b>5.2 Qualification criteria</b>			
5.2.1	In order to ensure that evaluation and certification are carried out effectively and uniformly, are the minimum relevant criteria for the competence of the personnel defined by the certification body?		
5.2.2	Does the certification body require its personnel involved in the certification process to sign a contract or other document by which they commit themselves:  a) to comply with the rules defined by the certification body, including those relating to confidentiality and independence from commercial and other interests?  b) and to declare any prior and/or present association on their own part, or on the part of their employer, with a supplier or designer of products to the evaluation or certification of which they are to be assigned?  Does the certification body ensure that, and document how, any contracted personnel for their own part, and on the part of their employer if any, satisfy all the requirements for personnel outlined in ISO/IEC Guide 65?		
5.2.3	Is information on the relevant qualifications, training and experience of each member of the personnel involved in the certification process maintained by the certification body?  Are records of training and experience kept up to date, in particular the following:  a) name and address?  b) organization affiliation and position held?  c) educational qualification and professional status?  d) experience and training in each field of the certification body's competence?  e) date of most recent updating of records?  f) performance appraisal?		

**6 CHANGES IN THE CERTIFICATION REQUIREMENTS**

Item		Status	Doc. ref. / Remarks
	Does the certification body give due notice of any changes it intends to make in its requirements for certification?  Does it take account of views expressed by interested parties before deciding on the precise form and effective date of the changes?  Following decision on, and publication of, the changed requirements, does it verify that each supplier makes any necessary adjustments within such time as, in the opinion of the certification body, is reasonable?		

**7 APPEALS, COMPLAINTS AND DISPUTES**

Item	Status	Doc. ref. / Remarks
7.1		
7.2		

**8 APPLICATION FOR CERTIFICATION**

<b>8.1 Information on the procedure</b>		
Item	Status	Doc. ref. / Remarks
8.1.1		
8.1.2		
8.1.3		
8.1.4		

<b>8.2 The application</b>		
Item	Status	Doc. ref. / Remarks
8.2.1		
8.2.2		

## 9 PREPARATION FOR EVALUATION

Item	Status	Doc. ref. / Remarks
9.1		
9.2		
9.3		
9.4		

## 10 EVALUATION

Item	Status	Doc. ref. / Remarks

**11 EVALUATION REPORT**

Item	Status	Doc. ref. / Remarks
<p>Does the certification body adopt reporting procedures that suit its needs but, as a minimum, these procedures ensure that:</p> <p>a) personnel appointed to evaluate the conformance of the products shall provide the certification body with a report of findings as to the conformity with all certification requirements?</p> <p>b) a full report on the outcome of the evaluation is promptly brought to the applicant's notice by the certification body, identifying any nonconformities that have been discharged in order to comply with all of the certification requirements and the extent of further evaluation or testing required?</p> <p>If the applicant can show that remedial action has been taken to meet all the requirements within a specified time limit, the certification body shall repeat only the necessary parts of the initial procedure.</p>		

**12 DECISION ON CERTIFICATION**

Item	Status	Doc. ref. / Remarks
12.1		
12.2		
12.3		
12.4		

**13 SURVEILLANCE**

Item	Status	Doc. ref. / Remarks
13.1		Does the certification body have documented procedures to enable surveillance to be carried out in accordance with the criteria applicable to the relevant certification system?
13.2		Does the certification body require that the supplier informs it about any of the changes cited in 4.6.2 c), such as intended modification to the product, manufacturing process or, if relevant, its quality system, which may affect the conformity of the product?  Does the certification body determine whether the announced changes require further investigations?  In such cases, is the supplier allowed to release certified products resulting from such changes until the certification body has notified the supplier accordingly?
13.3		Does the certification body document its surveillance activities?
13.4		Where the certification body authorizes the continuing use of its mark on products of a type which has been evaluated, does the certification body periodically evaluate the marked products to confirm that they continue to conform to the standards?

**14 USE OF LICENCES, CERTIFICATES AND MARKS OF CONFORMITY**

Item	Status	Doc. ref. / Remarks
14.1		Does the certification body exercise proper control over ownership, use and display of licences, certificates and marks of conformity?
14.2		Is guidance on the use of certificates and marks permitted by the certification body obtained from ISO/IEC Guide 23?
14.3		Are incorrect references to the certification system or misleading use of licences, certificates or marks, found in advertisements, catalogues, etc. dealt with by suitable actions?  <u>Note:</u> cfr. ISO/IEC Guide 65, 14.3

**15 COMPLAINTS TO SUPPLIERS**

Item	Status	Doc. ref. / Remarks
		Does the certification body require the supplier of products to:  a) keep a record of all complaints made known to the supplier relating to a product's compliance with requirements of the relevant standard and to make these records available to the certification body when requested?  b) take appropriate action with respect to such complaints and any deficiencies found in products or services that affect compliance with the requirements for certification?  c) document the actions taken?