



Hong Kong Certification Body Accreditation Scheme

HKCAS 019

Assessment / Reassessment Questionnaire

(for Information Security Management System Certification only)

based on ISO/IEC 17021-1: 2015 in conjunction with ISO/IEC 27006: 2015)

This form should be used for assessments of information security management system certification only. For assessments of other management system certification, please use other appropriate HKCAS form. For assessments of product certification, form HKCAS 013 should be used.

For an initial application for accreditation and applications for extension of scope of accreditation, this questionnaire should be completed and returned to HKAS Executive together with the application form HKCAS 005 and all relevant documents as listed in the checklist on page 2. HKAS Executive will only process an initial application for accreditation or an application for extension of scope of accreditation when completed forms HKCAS 005, HKCAS 019 and application fee are submitted.

For reassessments, this completed questionnaire together with any completed supplementary questionnaire must be returned to HKAS Executives one month before the scheduled reassessment date accompanied by the relevant documents.

Fees payable for assessments are calculated in accordance with:

HKCAS 006, Schedule of Fees for Accreditation of Certification Bodies and Validation/Verification Bodies in Hong Kong

You should study carefully the latest versions of the following documents before completing this questionnaire:

HKAS 002, Regulations for HKAS Accreditation

HKAS Supplementary Criteria No. 6, Code of Conduct

HKCAS Supplementary Criteria No. 4, Accreditation Regulations Specific for HKCAS - Certification Body

HKCAS Supplementary Criteria No. 8, Accreditation Programme for Information Security Management System (ISMS) Certification

ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 1: Requirements (HKCAS 003: 2015)

ISO/IEC 27006, Information technology – Security techniques – Requirements for bodies providing audit and certification of information security management systems

HKCAS Supplementary Criteria No. 11, HKAS Policy on Product and Management System Certification Scheme (only for certification body offering service(s) in respect of certification scheme(s), i.e. certification is not to ISO/IEC 27001)

HONG KONG ACCREDITATION SERVICE

36/F, Immigration Tower, 7 Gloucester Road, Wanchai, Hong Kong.

Tel : 2829 4840

Fax : 2824 1302

E-mail : hkas@itc.gov.hk

- Note:
1. The personal data provided by you will be retained and used by HKAS for accreditation purpose only. The personal data may be disclosed to members of the assessment team.
 2. You have the rights to obtain a printed copy of your personal data held by HKAS and request correction of the personal data. Please contact HKAS at the above address for access to and correction of your personal data.

Attachment Checklist

Before sending this completed questionnaire to HKAS Executive, please check that all required documents are attached and tick the appropriate boxes below.

This Questionnaire is related to: (more than one box may be ticked if appropriate)

- Initial Assessment Extension of Scope Reassessment
- application fees (for an initial applications and applications for extension of accreditation only, no application fees are charged for reassessments), in the form of a cheque or e-Cheque payable to **The Government of the Hong Kong Special Administrative Region**. In addition to application fee, assessment fee will be charged. Applicants will be informed of the exact amount when the on-site assessment visit is arranged.

*Application fee can be settled by e-Cheque through “Pay e-Cheque” portal <https://www.payecheque.gov.hk>. Please contact us if special arrangement is required.

- documents authenticating that the applicant certification body is a legal entity
- copy(ies) of valid Business and/or Branch Registration Certificate(s) of all premises, where accredited activities / activities sought for accreditation are carried out, under the same legal entity
- management system manual
- operation procedures including documents required in the checklist of this document (refer to Pages 11 to 115), such as audit time determination procedure, procedure for determining scope of certification, procedure for using of HKAS accreditation symbol, etc.
- certification scheme document(s) (for the certification body offering certification service(s) in respect of certification scheme(s)) (refer to Pages 113-115)
- a documented analysis on how the certification scheme satisfies the requirements in HKCAS Supplementary Criteria No. 11.
- management system documentation including sample application form and sample contract agreement between the applicant certification body and its client; for others, please specify

- latest internal audit schedule (includes internal audit of the ISMS certification process)
- record of the latest management review
- certification body organisation charts, with key positions clearly identified
- list of competence auditors involved in ISMS certification
- sample ISMS audit reports
- sample ISMS certificates
- completed checklist of this document (refer to Pages 11 to 115)
- other documents, please specify

SCOPE OF ACCREDITATION

For applications for accreditation and applications for extension of Scope of Accreditation, the activities to be included should be detailed in the “Scope of Accreditation Sought” on page 4.

Note: All activities applied will be processed together. When all these activities have met relevant accreditation criteria, a notification letter granting accreditation for them will be issued.

For reassessments, the “Scope of Accreditation to be Reassessed” will have been sent to the certification body together with this questionnaire. The certification body should check this scope carefully and minor changes should be annotated on it.

This scope should then be signed and returned to HKAS Executive together with this completed questionnaire for confirmation.

If major additions to the Scope of Accreditation are requested, the certification body should consult HKAS Executive on whether an application for extension of Scope of Accreditation should be submitted.

Scope of Accreditation Sought

(for application for accreditation or extension of Scope of Accreditation only)

Please indicate below the certification standard (e.g. ISO/IEC 27001) or the name of the certification scheme. Certification scheme developed by a scheme owner should be described in details.

Certification Standard or Name of Certification Scheme	Description of the certification standard/scheme including certification criteria, evaluation and surveillance regime

General Information

Organisation name

(See Note 1)

Certification body name, if any

(See Note 2)

Address

Hong Kong

Kowloon

N. T.

Telephone

Fax

E-mail

Address

(for correspondence)

Hong Kong

Kowloon

N. T.

Telephone

Fax

E-mail

Questionnaire completed by

Name

Position

Telephone

Fax

E-mail

Authorised representative

Name

Position

Address

(if different from the correspondence address)

Telephone

Fax

E-mail

Signature

Date

Note 1 – Organisation is the legal identity of the owner of the certification body. It may be a government department, company, person operating a certification body or other legal entity.

Note 2 – The name used by the organisation to identify the certification body.

Requirements for Certification Bodies (ISO/IEC 17021-1 Clause 5)

Legal Status

Please give details of the legal status of your organisation. (The organisation to which accreditation is to be granted)

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Activities

Yes/No	If yes, please describe
- Does your organisation conduct other activities in addition to information security management system certification?	
- Does your organisation have any relationship with other organisations or consultants?	

Size of certification body in Hong Kong

- Total number of staff working for the certification body	
- Number of full time auditors	
- Number of part time/contract auditors	

Management System

Please provide a copy of the management system manual and related management system documents, such as operation procedure manual. Any further comments should be stated below or on separate sheet.

Internal Audit

Please provide a copy of the latest audit schedule (including internal audit of ISMS certification process). Any further comments should be stated below.

Management Review

Please provide a copy of the latest management review. Any further comments should be stated below.

Assessment report by other Accreditation Bodies

Is your organisation's ISMS certification system accredited by other accreditation bodies? Yes No

If yes, you may like to provide a copy of the latest assessment reports by other accreditation bodies. HKAS will take such reports into consideration if provided.

Personnel

Person(s) responsible for appointing auditor teams (Attached extra sheet if necessary)

Name			
Position			

Person(s) to whom audit team leaders report (Attached extra sheet if necessary)

Name			
Position			

Person(s) responsible for reviewing the audit reports (If different from above and attached extra sheet if necessary)

Name			
Position			

Name of the committee if audit reports are reviewed/approved by committee

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Organisation chart

Please provide a copy of the organisation chart of the certification body. If the certification body is a subsidiary of or controlled by a large organisation, whether local or overseas, the charts should show the position of the certification body within the parent organisation structure. The key positions with respect to the activities to be assessed should be clearly identified. Please provide the names and positions for staff members occupying key positions in the certification body as identified in the organisation charts.

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Personnel changes (applicable only for reassessments)

Please give details of any changes to certification body personnel relevant to the activities to be reassessed since the last assessment /reassessment.

Audit Report

Please provide a copy of representative audit report for ISMS certification system to be accredited. These should be the certification body’s audit reports on applicant organisations. Any further comments on reports should be stated below.

Certificates

For the activities to be assessed, what is the approximate number of certificates issued per year?

What percentage of these certificates is covered under HKCAS accreditation? (for reassessment only)

Please specify the countries in which your organisation issues HKAS accredited ISMS certificates

Please provide copies of representative certificates for the activities to be assessed. These should be copies of certificates issued to certified organisations.

Checklist

The applicant certification body or certification body to be assessed must complete the following checklist. It will be used to assess compliance with HKCAS requirements.

The checklist consists of questions based on the requirements of HKAS 002, HKAS SC-06, HKCAS SC-04, HKCAS SC-08, HKCAS SC-11, ISO/IEC 17021-1 and ISO/IEC 27006. For further information, refer to the corresponding document and clause as listed in the second and third column.

The certification body should indicate in the “QM Clause” column, for every question, the clause(s) in their management system manual and operation procedures or other related documentation which cover the requirement.

The columns headed “OK” are for HKAS internal use.

A softcopy of this checklist should be provided to HKAS Executive through email or other means.

ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
REQUIREMENTS FOR CERTIFICATION BODIES					
GENERAL REQUIREMENTS					
Legal and contractual matters					
Legal responsibility					
<p>Is the certification body a legal entity, or a defined part of a legal entity, such that it can be held legally responsible for all its certification activities? (A governmental certification body is deemed to be a legal entity on the basis of its governmental status.)</p>	5.1.1		<input type="checkbox"/>		
<p>Certification agreement</p> <p>Does the certification body have a legally enforceable agreement with its client for the provision of certification service in accordance with the relevant requirements of this part of ISO/IEC 17021? In addition, where there are multiple offices of a certification body or multiple sites of a client, the certification body shall ensure there is a legally enforceable agreement between the certification body granting certification and issuing a certificate, and all the sites covered by the scope of the certification.</p>	5.1.2		<input type="checkbox"/>		
<p>Responsibility for certification decisions</p> <p>Is the certification body responsible for, and does it retain authority for, its decisions relating to certification, including the granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring following suspension, or withdrawing of certification?</p>	5.1.3		<input type="checkbox"/>		

*Assessors for technical portions should concentrate on items marked with a ●; other items will be checked by the assessor for management system portions or the assessment team leader.

ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Management of impartiality</p> <p>Does your certification body undertake conformity assessment activities impartially? Is your certification body responsible for the impartiality of its conformity assessment activities? Does your certification body allow commercial, financial or other pressures to compromise impartiality?</p> <p>Does your certification body have top management commitment to impartiality in management system certification activities? Does your certification body have a policy that it understands the importance of impartiality in carrying out its management system certification activities, manages conflict of interest and ensures the objectivity of its management system certification activities?</p> <p>Does your certification body have a process to identify, analyse, evaluate, treat, monitor, and document the risks related to conflict of interests arising from provision of certification including any conflicts arising from its relationships on an ongoing basis?</p> <p>Where there are any threats to impartiality, does your certification body document and demonstrate how to eliminate or minimise such threats and document any residual risk? Does the demonstration cover all potential threats that are identified, whether they arise from within the certification body or from the activities of other persons, bodies or organisations?</p> <p>Does the top management review any residual risk to determine if it is within the level of acceptable risk? Does the risk assessment process include identification of and consultation with appropriate interested parties advising on matters affecting impartiality including openness and public perception?</p>	<p>5.2</p> <p>5.2.1</p> <p>5.2.2</p> <p>5.2.3</p>		<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p><i>NOTE 1 : Sources of threats to impartiality of the certification body can be based on ownership, governance, management, personnel, shared resources, finances, contracts, training, marketing and payment of a sales commission or other inducement for the referral of new clients, etc.</i></p> <p><i>NOTE 2 : Interested parties can include personnel and clients of the certification body, customers of organisations whose management systems are certified, representatives of industry trade associations, representatives of governmental regulatory bodies or other governmental services, or representatives of non-governmental organisations, including consumer organisations.</i></p> <p><i>NOTE 3 : One way of fulfilling the consultation requirement of this clause is by the use of a committee of these interested parties.</i></p> <p>Does your certification body certify another certification body for its management system certification activities?</p> <p><i>NOTE : See Note to Clause 5.2.2</i></p> <p>Does your certification body and any part of the same legal entity and any entity under the organisational control of the certification body offer or provide management system consultancy? This also applies to that part of government identified as the certification body.</p> <p><i>NOTE : This does not preclude the possibility of exchange of information (e.g. explanation of findings or clarification of requirements) between the certification body and its clients.</i></p> <p>The carrying out of internal audits by the certification body and any part of the same legal entity to its certified clients is a significant threat to impartiality. Does your certification body and any part of the same legal entity and any entity under the organisational control of the certification body offer or provide internal audits to your certified clients?</p> <p><i>NOTE : See Note 1 to Clause 5.2.3</i></p>	<p>5.2.4</p> <p>5.2.5</p> <p>5.2.6</p>		<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Where a client has received management systems consultancy from a body that has a relationship with a certification body, this is a significant threat to impartiality. Does your certification body certify the management system for a minimum of two years following the end of the consultancy?</p> <p><i>NOTE : See Note 1 to Clause 5.2.3</i></p>	5.2.7		<input type="checkbox"/>		
<p>Does your certification body outsource audits to a management system consultancy organisation, as this poses and unacceptable threat to the impartiality of the certification body (see Clause 7.5)? This does not apply to individuals contracted as auditors covered in Clause 7.3.</p>	5.2.8		<input type="checkbox"/>		
<p>Are the certification body's activities marketed or offered as linked with the activities of an organisation that provides management system consultancy? Does your certification body take action to correct inappropriate links or statements by any consultancy organisation stating or implying that certification would be simpler, easier, faster or less expensive if the certification body were used? Does your certification body not state or imply that certification would be simpler, easier, faster or less expensive if a specified consultancy organisation were used?</p>	5.2.9		<input type="checkbox"/>		
<p>Does your certification body use personnel (who have provided management system consultancy, including those acting in a managerial capacity) to take part in an audit or other certification activities if they have been involved in management system consultancy towards the client in question within two years following the end of the consultancy?</p>	5.2.10		<input type="checkbox"/>		
<p>Does your certification body take action to respond to any threats to its impartiality arising from the actions of other persons, bodies or organisations?</p>	5.2.11		<input type="checkbox"/>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Do all certification body personnel, either internal or external, or committees, who could influence the certification activities, act impartially and do not allow commercial, financial or other pressures to compromise impartiality?</p>	5.2.12		<input type="checkbox"/>		
<p>Does your certification body require personnel, internal and external, to reveal any situation known to them that may present them or the certification body with a conflict of interests? Does your certification body record and use this information as input to identifying threats to impartiality raised by the activities of such personnel or by the organisations that employ them? Does your certification body use such personnel, internal or external, unless they can demonstrate that there is no conflict of interest?</p>	5.2.13		<input type="checkbox"/>		
<p>Liability and financing</p>	5.3				
<p>Can your certification body demonstrate that it has evaluated the risks arising from its certification activities and that it has adequate arrangements (e.g. insurance or reserves) to cover liabilities arising from its operations in each of its fields of activities and the geographic areas in which it operates?</p>	5.3.1		<input type="checkbox"/>		
<p>Has your certification body evaluated its finances and sources of income and demonstrated to the committee specified in Clause 6.2 that initially, and on an ongoing basis, commercial, financial or other pressures do not compromise its impartiality?</p>	5.3.2		<input type="checkbox"/>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
STRUCTURAL REQUIREMENTS					
Organisational structure and top management					
<p>Has your certification body documented its organisational structure, showing duties, responsibilities and authorities of management and other certification personnel and any committees? When the certification body is a defined part of a legal entity, does the structure include the line of authority and the relationship to other parts within the same legal entity?</p>	6.1.1		<input type="checkbox"/>		
<p>Are your certification activities structured and managed so as to safeguard impartiality?</p>	6.1.2		<input type="checkbox"/>		
<p>Has your certification body identified the top management (board, group of persons, or person) having overall authority and responsibility for each of the following :</p>	6.1.3				
<p>a) development of policies and establishment of processes and procedures relating to its operations;</p>			<input type="checkbox"/>		
<p>b) supervision of the implementation of the policies, processes and procedures;</p>			<input type="checkbox"/>		
<p>c) ensuring impartiality;;</p>			<input type="checkbox"/>		
<p>d) supervision of its finances;</p>			<input type="checkbox"/>		
<p>e) development of management system certification services and schemes;</p>			<input type="checkbox"/>		
<p>f) performance of audits and certification, and responsiveness to complaints;</p>			<input type="checkbox"/>		
<p>g) decisions on certification;</p>			<input type="checkbox"/>		
<p>h) delegation of authority to committees or individuals, as required, to undertake defined activities on its behalf;</p>			<input type="checkbox"/>		
<p>i) contractual arrangements;</p>			<input type="checkbox"/>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
j) provision of adequate resources for certification activities?			<input type="checkbox"/>		
Does your certification body have formal rules for the appointment, terms of reference and operation of any committees that are involved in the certification activities?	6.1.4		<input type="checkbox"/>		
Operational control	6.2				
Does your certification body have a process for the effective control of certification activities delivered by branch offices, partnerships, agents, franchisees, etc., irrespective of their legal status, relationship or geographical location? Have your certification body considered the risk that these activities pose to the competence, consistency and impartiality of the certification body?	6.2.1		<input type="checkbox"/>		
Has your certification body considered the appropriate level and method of control of activities undertaken including its processes, technical areas of certification bodies' operations, competence of personnel, lines of management control, reporting and remote access to operations including records?	6.2.2		<input type="checkbox"/>		
RESOURCE REQUIREMENTS	7				
Competence of personnel	7.1				
General considerations	7.1.1		<input type="checkbox"/>		
Does your certification body have processes to ensure that personnel have appropriate knowledge relevant to and geographic areas in which it operates?					

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p><i>NOTE 1 : A number of evaluation methods that can be used to evaluate competence are described in Annex B of ISO/IEC 17021-1:2015.</i></p> <p><i>NOTE 2 : Annex C of ISO/IEC 17021-1: 2015 shows an example of process flow for determining and maintaining competence.</i></p>					
<p>Other consideration</p> <p>Does your certification body have access to the necessary technical expertise for advice on matters directly relating to certification activities for all technical areas, types of management systems and geographic areas in which the certification body operates? Such advice may be provided externally or by certification body personnel.</p>	7.1.4	●	<input type="checkbox"/>		
<p>Personnel involved in the certification activities</p> <p>Does your certification body have sufficient, competent personnel for managing and supporting the type and range of audit programmes and other certification work performed?</p>	7.2				
<p>Does your certification body employ, or have access to, a sufficient number of auditors, including audit team leaders, and technical experts to cover all of its activities and to handle the volume of audit work performed?</p>	7.2.1		<input type="checkbox"/>		
<p>Does your certification body employ, or have access to, a sufficient number of auditors, including audit team leaders, and technical experts to cover all of its activities and to handle the volume of audit work performed?</p>	7.2.2	●	<input type="checkbox"/>		
<p>Does your certification body make clear to each person concerned their duties, responsibilities and authorities?</p>	7.2.3		<input type="checkbox"/>		
<p>Does your certification body have processes for selecting, training, formally authorising auditors and for selecting and familiarizing technical experts used in the certification activity. The initial competence evaluation of an auditor shall include the ability to apply required knowledge and skills during audits, as determined by a competent evaluator observing the auditor conducting an audit?</p>	7.2.4		<input type="checkbox"/>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p><i>NOTE : During the selection and training process described above desired personal behaviour can be considered. These are characteristics that affect an individual's ability to perform specific functions. Therefore, knowledge about the behaviour of individuals enables a certification body to take advantage of their strengths and to minimize the impact of their weaknesses.</i></p>					
<p>Does your certification body have a process to achieve and demonstrate effective auditing, including the use of auditors and audit team leaders possessing generic auditing skills and knowledge, as well as skills and knowledge appropriate for auditing in specific technical areas?</p>	7.2.5	●	<input type="checkbox"/>		
<p>Does your certification body ensure that auditors (and, where needed, technical experts) are knowledgeable of its audit processes, certification requirements and other relevant requirements. Does your certification body give auditors and technical experts access to an up-to-date set of documented procedures giving audit instructions and all relevant information on the certification activities?</p>	7.2.6	●	<input type="checkbox"/>		
<p>Does your certification body identify training needs and offer or provide access to specific training to ensure its auditors, technical experts and other personnel involved in certification activities are competent for the functions they perform?</p>	7.2.7		<input type="checkbox"/>		
<p>Does the group or individual that that takes the decision on granting, refusing, maintaining, renewing, suspending, restoring, or withdrawing certification, or on expanding or reducing the scope of certification, shall understand the applicable standard and certification requirements, and have demonstrated competence to evaluate the outcomes of the audit processes including related recommendations of the audit team?</p>	7.2.8		<input type="checkbox"/>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body ensure the satisfactory performance of all personnel involved in the audit and certification activities? Are there documented process for monitoring competence and performance of all persons involved, based on the frequency of their usage and the level of risk linked to their activities? In particular, does your certification body review and record the competence of its personnel in the light of their performance in order to identify training needs?</p>	7.2.9		<input type="checkbox"/>		
<p>Does your certification body monitor each auditor considering each type of management system to which the auditor is deemed competent? Do the documented monitoring procedures for auditors include a combination of on-site observation, review of audit reports and feedback from clients or from the market? Is this monitoring designed in such a way as to minimize disturbance to the normal processes of certification, especially from the client's viewpoint?</p>	7.2.10		<input type="checkbox"/>		
<p>Does your certification body periodically evaluate the performance of each auditor on-site? Is the frequency of on-site evaluations based on need determined from all monitoring information available?</p>	7.2.11		<input type="checkbox"/>		
<p>Use of individual external auditors and external technical experts</p> <p>Does your certification body require external auditors and external technical experts to have a written agreement by which they commit themselves to comply with applicable policies and implement processes as defined by the certification body? Does the agreement address aspects relating to confidentiality and impartiality and shall require the external auditors and external technical experts to notify the certification body of any existing or prior relationship with any organisation they may be assigned to audit?</p> <p><i>NOTE : Use of an individual or employee of another organisation individually contracted to serve as an external auditor or technical expert does not constitute outsourcing.</i></p>	7.3		<input type="checkbox"/>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Personnel records</p> <p>Does your certification body maintain up-to-date personnel records, including relevant qualifications, training, experience, affiliations, professional status and competence? Does the record include management and administrative personnel in addition to those performing certification activities?</p>	7.4		<input type="checkbox"/>		
<p>Outsourcing</p> <p>Does your certification body have a process in which it describes the conditions under which outsourcing (which is subcontracting to another organisation to provide part of the certification activities on behalf of the certification body) may take place? Does your certification body have a legally enforceable agreement covering the arrangements, including confidentiality and conflict of interests, with each body that provides outsourced services?</p>	7.5				
<p>Are decisions for granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification shall not be outsourced?</p>	7.5.1		<input type="checkbox"/>		
<p>Are decisions for granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification shall not be outsourced?</p>	7.5.2		<input type="checkbox"/>		
<p>Does your certification body</p> <p>a) take responsibility for all activities outsourced to another body,</p> <p>b) ensure that the body that provides outsourced services, and the individuals that it uses, conform to requirements of the certification body and also to the applicable provisions of this part of ISO/IEC 17021, including competence, impartiality and confidentiality, and</p> <p>c) ensure that the body that provides outsourced services, and the individuals that it uses, are not involved, either directly or through any other employer, with an organisation to be audited, in such a way that impartiality could be compromised?</p>	7.5.3		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body provide upon request information about</p> <p>a) geographical areas in which it operates;</p> <p>b) the status of a given certification; and</p> <p>c) the name, related normative document, scope and geographical location (city and country) for a specific certified client?</p> <p><i>NOTE 1 : In exceptional cases, access to certain information can be limited on the request of the client (e.g. for security reasons).</i></p> <p><i>NOTE 2 : The certification body can also make the information in Clause 8.1.2 public by any means it chooses without request, e.g. on its internet website.</i></p>	8.1.2		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		
<p>Is information provided by the certification body to any client or to the marketplace, including advertising, accurate and not misleading?</p>	8.1.3		<input type="checkbox"/>		
<p>Certification documents</p>	8.2				
<p>Does your certification body provide by any means it chooses certification documents to the certified client?</p>	8.2.1		<input type="checkbox"/>		
<p>Does the certification document(s) identify the following :</p> <p>a) the name and geographical location of each certified client (or the geographical location of the headquarters and any sites within the scope of a multi-site certification);</p> <p>b) the effective date of granting, expanding or reducing the scope of certification, or renewing certification which shall not be before the date of the relevant certification decision;</p> <p><i>NOTE : The certification body can keep the original certification date on the certificate when a certificate lapses for a period of time provided that:</i></p> <ul style="list-style-type: none"> - the current certification cycle start and expiry date are clearly indicated; - the last certification cycle expiry date be indicated along with the date of recertification audit 	8.2.2		<input type="checkbox"/> <input type="checkbox"/>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>c) the expiry date or recertification due date consistent with the recertification cycle;</p> <p>d) a unique identification code;</p> <p>e) the management system standard and/or other normative document, including indication of issue status (e.g. revision date or number) used for audit of the certified client;</p> <p>f) the scope of certification with respect to the type of activities, products and services as applicable at each site without being misleading or ambiguous;</p> <p>g) the name, address and certification mark of the certification body; other marks (e.g. accreditation symbol, client’s logo) may be used provided they are not misleading or ambiguous;</p> <p>h) any other information required by the standard and/or other normative document used for certification; and</p> <p>i) in the event of issuing any revised certification documents, a means to distinguish the revised documents from any prior obsolete documents?</p>			<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		
<p>Reference to certification and use of marks</p> <p>Does your certification body have rules governing any management systems’ third party mark that it authorises certified clients to use? Do these rules ensure, among other things, traceability back to the certification body? Is there no ambiguity, in the mark or accompanying text, as to what has been certified and which certification body has granted the certification? Is this mark not used on a product or product packaging seen by the consumer or in any other way that may be interpreted as denoting product conformity?</p> <p><i>NOTE : ISO/IEC 17030 provides additional information for use of third-party marks.</i></p>	<p>8.3</p> <p>8.3.1</p>		<input type="checkbox"/>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body exercise proper control of ownership and take action to deal with incorrect references to certification status or misleading use of certification documents, marks or audit reports?</p> <p><i>NOTE : Such action could include requests for correction and corrective action, suspension, withdrawal of certification, publication of the transgression and, if necessary, legal action.</i></p>	8.3.5		<input type="checkbox"/>		
<p>Confidentiality</p> <p>Is your certification body responsible, through legally enforceable agreements, for the management of all information obtained or created during the performance of certification activities at all levels of its structure, including committees and external bodies or individuals acting on its behalf?</p> <p>Does your certification body inform the client, in advance, of the information it intends to place in the public domain? Are all other information, except for information that is made publicly accessible by the client, confidential?</p> <p>Except as required in this part of ISO/IEC 17021, is information about a particular certified client or individual not disclosed to a third party without the written consent of the certified client or individual concerned?</p> <p>When the certification body is required by law or authorised by contractual arrangements (such as with the accreditation body) to release confidential information, are the client or individual concerned, unless prohibited by law, notified of the information provided?</p>	<p>8.4</p> <p>8.4.1</p> <p>8.4.2</p> <p>8.4.3</p> <p>8.4.4</p>		<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
Is information about the client from sources other than the client (e.g. complainant, regulators) treated as confidential, consistent with the certification body's policy?	8.4.5		<input type="checkbox"/>		
Does personnel, including any committee members, contractors, personnel of external bodies or individuals acting on the certification body's behalf, keep confidential all information obtained or created during the performance of the certification body's activities except as required by law?	8.4.6		<input type="checkbox"/>		
Does the certification body have processes and where applicable equipment and facilities that ensure the secure handling of confidential information?	8.4.7		<input type="checkbox"/>		
Information exchange between a certification body and its clients	8.5				
Information on the certification activity and requirements	8.5.1				
Does your certification body provide and update clients on the following:					
a) a detailed description of the initial and continuing certification activity, including the application, initial audits, surveillance audits, and the process for granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification;			<input type="checkbox"/>		
b) the normative requirements for certification;			<input type="checkbox"/>		
c) information about the fees for application, initial certification and continuing certification;			<input type="checkbox"/>		
d) the certification body's requirements for clients to:			<input type="checkbox"/>		
1) comply with certification requirements;			<input type="checkbox"/>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>2) make all necessary arrangements for the conduct of the audits, including provision for examining documentation and the access to all processes and areas, records and personnel for the purposes of initial certification, surveillance, recertification and resolution of complaints; and</p> <p>3) make provisions, where applicable, to accommodate the presence of observers (e.g. accreditation assessors or trainee auditor);</p> <p>e) documents describing the rights and duties of certified clients, including requirements, when making reference to its certification in communication of any kind in line with the requirements in Clause 8.3; and</p> <p>f) information on procedures for handling complaints and appeals?</p>			<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		
<p>Notice of changes by a certification body</p> <p>Does your certification body give its certified clients due notice of any changes to its requirements for certification? Does your certification body verify that each certified client complies with the new requirements?</p>	8.5.2		<p><input type="checkbox"/></p>		
<p>Notice of changes by a certified client</p> <p>Does your certification body have legally enforceable arrangements to ensure that the certified client informs the certification body, without delay, of matters that may affect the capability of the management system to continue to fulfil the requirements of the standard used for certification? These include, for example, changes relating to:</p> <p>a) the legal, commercial, organisational status or ownership;</p> <p>b) organisation and management (e.g. key managerial, decision-making or technical staff);</p> <p>c) contact address and sites;</p> <p>d) scope of operations under the certified management system; and</p>	8.5.3		<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>a) the information about the applicant organisation and its management system is sufficient to develop an audit programme (see Clause 9.1.3);</p> <p>b) any known difference in understanding between the certification body and the applicant organisation is resolved;</p> <p>c) the certification body has the competence and ability to perform the certification activity; and</p> <p>d) the scope of certification sought, the site(s) of the applicant organisation’s operations, time required to complete audits and any other points influencing the certification activity are taken into account (language, safety conditions, threats to impartiality, etc.).</p> <p>Following the review of the application, the certification body shall either accept or decline an application for certification. When the certification body declines an application for certification as a result of the review of application, are the reasons for declining an application documented and made clear to the client?</p> <p>Based on this review, does your certification body determine the competences it needs to include in its audit team and for the certification decision?</p> <p>Audit programme</p> <p>Is an audit programme for the full certification cycle developed to clearly identify the audit activity/activities required to demonstrate that the client’s management system fulfils the requirements for certification to the selected standard(s) or other normative document(s)? Does the audit programme for the certification cycle cover the complete management system requirements?</p>	<p>9.1.2.2</p> <p>9.1.2.3</p> <p>9.1.3</p> <p>9.1.3.1</p>		<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does the audit programme for the initial certification include a two-stage initial audit, surveillance audits in the first and second years following the certification decision, and a recertification audit in the third year prior to expiration of certification? Does the first three-year certification cycle begin with the certification decision? Do subsequent cycles begin with the recertification decision (see Clause 9.6.3.2.3)? Does the determination of the audit programme and any subsequent adjustments consider the size of the client, the scope and complexity of its management system, products and processes as well as demonstrated level of management system effectiveness and the results of any previous audits?</p> <p><i>NOTE 1 : Annex E of ISO/IEC 17021-1:2015 is a flowchart of a typical audit and certification process.</i></p> <p><i>NOTE 2 : The following list contains additional items that can be considered when developing or revising an audit programme, they might also need to be addressed when determining the audit scope and developing the audit plan:</i></p> <ul style="list-style-type: none"> - complaints received by the certification body about the client; - combined, integrated or joint audit; - changes to the certification requirements; - changes to legal requirements; - changes to accreditation requirements; - organisational performance data (e.g. defect levels, key performance indicators data); - relevant interested parties' concerns. <p><i>NOTE 3 : If specified by the industry specific certification scheme, the certification cycle can be different from three years.</i></p>	9.1.3.2		<input type="checkbox"/>		
<p>Are surveillance audits conducted at least once a calendar year, except in recertification years? Is the date of the first surveillance audit following initial certification not more than 12 months from the certification decision date?</p>	9.1.3.3		<input type="checkbox"/>		

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<p><i>NOTE It can be necessary to adjust the frequency of surveillance audits to accommodate factors such as seasons or management systems certification of a limited duration (e.g. temporary construction site).</i></p>					
<p>Where the certification body is taking account of certification already granted to the client and to audits performed by another certification body, does your certification body obtain and retain sufficient evidence, such as reports and documentation on corrective actions, to any nonconformity? Does the documentation support the fulfilling of the requirements in this part of ISO/IEC 17021. Does your certification body, based on the information obtained, justify and record any adjustments to the existing audit programme and follow up the implementation of corrective actions concerning previous nonconformities?</p>	9.1.3.4		<input type="checkbox"/>		
<p>Where the client operates shifts, are the activities that take place during shift working considered when developing the audit programme and audit plans?</p>	9.1.3.5		<input type="checkbox"/>		
<p>Determining audit time Does your certification body have documented procedures for determining audit time? For each client, does your certification body determine the time needed to plan and accomplish a complete and effective audit of the client's ?</p>	9.1.4 9.1.4.1		<input type="checkbox"/>		
<p>In determining the audit time, does the certification body consider, among other things, the following aspects:</p> <ul style="list-style-type: none"> a) the requirement of the relevant standards; b) complexity of the client and its management system; c) technological and regulatory context; d) any outsourcing of any activities included in the scope of the ; 	9.1.4.2		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		

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<p>e) results of any prior audits;</p> <p>f) size and number of sites, their geographical locations and multi-site considerations;</p> <p>g) the risks associated with the products, processes or activities of the organisation;</p> <p>h) when audits are combined, joint or integrated?</p> <p><i>NOTE 1 : Time spent travelling to and from audited sites is not included in the calculation of the duration of the management system audit days.</i></p> <p><i>NOTE 2 : The certification body can use the guidelines established in ISO/IEC TS 17023 for determining the duration of management system audit when documenting these procedures.</i></p>			<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		
<p>Are the duration of the management system audit and its justification recorded?</p>	9.1.4.3		<input type="checkbox"/>		
<p>Does the time spent by any team member that is not assigned as an auditor (i.e. technical experts, translators, interpreters, observers and auditors-in-training) not count in the above established duration of the management system audit?</p> <p><i>NOTE : The use of translators, interpreters can necessitate additional audit time.</i></p>	9.1.4.4		<input type="checkbox"/>		
<p>Multi-site sampling</p> <p>Where multi-site sampling is used for the audit of a client’s management system covering the same activity in various geographical locations, does your certification body develop a sampling programme to ensure proper audit of the management system? Is the rationale for the sampling plan documented for each client? Sampling is not allowed for some specific certification schemes, and where specific criteria have been established for a specific certification scheme, e.g. ISO/TS 22003, these shall be applied.</p>	9.1.5	●	<input type="checkbox"/>		

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<p><i>NOTE : Where there are multiple sites not covering the same activity sampling is not appropriate.</i></p>					
<p>Multiple management systems standards</p> <p>When certification to multiple management system standards is being provided by the certification body, does the planning for the audit ensure adequate on-site auditing to provide confidence in the certification?</p>	9.1.6		<input type="checkbox"/>		
<p>Planning audits</p>					
<p>Determining audit objectives, scope and criteria</p>					
<p>Are the audit objectives determined by your certification body? Are the audit scope and criteria, including any changes, established by your certification body after discussion with the client?</p>	9.2.1.1		<input type="checkbox"/>		
<p>Do the audit objectives describe what is to be accomplished by the audit and include the following:</p>	9.2.1.2		<input type="checkbox"/>		
<p>a) determination of the conformity of the client’s management system, or parts of it, with audit criteria;</p> <p>b) evaluation of the ability of the management system to ensure the client organisation meets applicable statutory, regulatory and contractual requirements;</p>			<input type="checkbox"/>		
<p><i>NOTE : A management system certification audit is not a legal compliance audit.</i></p>					
<p>c) determination of the effectiveness of the management system to ensure the client can reasonably expect to achieving its specified objectives; and</p>			<input type="checkbox"/>		
<p>d) as applicable, identification of areas for potential improvement of the management system?</p>			<input type="checkbox"/>		

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<p>Does the audit scope describe the extent and boundaries of the audit, such as physical locations, organisational units, activities and processes to be audited? Where the initial or re-certification process consists of more than one audit (e.g. covering different locations), the scope of an individual audit may not cover the full certification scope, but the totality of audits shall be consistent with the scope in the certification document.</p>	9.2.1.3		<input type="checkbox"/>		
<p>Are the audit criteria used as a reference against which conformity is determined and include:</p> <ul style="list-style-type: none"> - the requirements of a defined normative document on management systems; and - the defined processes and documentation of the management system developed by the client? 	9.2.1.4		<input type="checkbox"/>		
<p>Audit team selection and assignments</p>	9.2.2	●			
<p>General</p> <p>Does your certification body have a process for selecting and appointing the audit team, including the audit team leader and technical experts as necessary, taking into account the competence needed to achieve the objectives of the audit and requirements for impartiality? If there is only one auditor, does the auditor have the competence to perform the duties of an audit team leader applicable for that audit? Does the audit team have the totality of the competences identified by the certification body as set out in Clause 9.1.2.3 for the audit?</p>	9.2.2.1.1		<input type="checkbox"/>		
<p>In deciding the size and composition of the audit team, is consideration given to the following:</p> <ul style="list-style-type: none"> a) audit objectives, scope, criteria and estimated audit time; b) whether the audit is a combined, joint or integrated; 	9.2.2.1.2		<input type="checkbox"/> <input type="checkbox"/>		

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<p>c) the overall competence of the audit team needed to achieve the objective of the audit (see Table A.1 of ISO/IEC 17021-1:2015);</p> <p>d) certification requirements (including any applicable statutory, regulatory or contractual requirements);</p> <p>e) language and culture;</p> <p><i>NOTE : The team leader of a combined or integrated audit is expected to have in-depth knowledge of at least one of the standards and an awareness of the other standards used for that particular audit.</i></p>			<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		
<p>The necessary knowledge and skills of the audit team leader and auditors may be supplemented by technical experts, translators and interpreters who shall operate under the direction of an auditor. Where translators or interpreters are used, are they selected such that they do not unduly influence the audit?</p> <p><i>NOTE : The criteria for the selection of technical experts are determined on a case-by-case basis by the needs of the audit team and the scope of the audit.</i></p>	9.2.2.1.3		<input type="checkbox"/>		
<p>Auditors-in-training may participate in the audit, provided an auditor is appointed as an evaluator. Is the evaluator competent to take over the duties and have final responsibility for the activities and findings of the auditor-in-training?</p>	9.2.2.1.4		<input type="checkbox"/>		
<p>The audit team leader, in consultation with the audit team, shall assign to each team member responsibility for auditing specific processes, functions, sites, areas or activities. Do such assignments take into account the need for competence, and the effective and efficient use of the audit team, as well as different roles and responsibilities of auditors, auditors-in-training and technical experts? Changes to the work assignments may be made as the audit progresses to ensure achievement of the audit objectives.</p>	9.2.2.1.5		<input type="checkbox"/>		

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b) determine that these meet all the requirements relevant to the intended scope of certification; c) determine that the processes and procedures are established, implemented and maintained effectively, to provide a basis for confidence in the client’s management system; and d) communicate to the client, for its action, any inconsistencies between the client’s policy, objectives and targets?			<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		
Communication of audit plan Is the audit plan communicated and the dates of the audit agreed upon, in advance, with the client organisation?	9.2.3.4		<input type="checkbox"/>		
Communication concerning audit team members Does your certification body provide the name of and, when requested, make available background information on each member of the audit team, with sufficient time for the client organisation to object to the appointment of any particular auditor or technical expert and for the certification body to reconstitute the team in response to any valid objection?	9.2.3.5		<input type="checkbox"/>		
Initial certification	9.3	●			
Initial certification audit	9.3.1				
General Is the initial certification audit of a management system conducted in two stages: stage 1 and stage 2?	9.3.1.1		<input type="checkbox"/>		
Stage 1	9.3.1.2				
Does planning ensure that the objectives of stage 1 can be met and the client shall be informed of any “on site” activities during stage 1?	9.3.1.2.1		<input type="checkbox"/>		

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<p><i>NOTE Stage 1 does not require a formal audit plan (see clause 9.2.3).</i></p>					
<p>Are the objectives of stage 1 to:</p> <p>a) review the client’s management system documented information;</p> <p>b) evaluate the client’s site-specific conditions and to undertake discussions with the client’s personnel to determine the preparedness for stage 2;</p> <p>c) review the client’s status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;</p> <p>d) obtain necessary information regarding the scope of the management system, including:</p> <ul style="list-style-type: none"> - the client’s site(s); - processes and equipment used; - levels of controls established (particularly in case of multisite clients); - applicable statutory and regulatory requirements; <p>e) review the allocation of resources for stage 2 and agree the details of stage 2 with the client;</p> <p>f) provide a focus for planning stage 2 by gaining a sufficient understanding of the client’s management system and site operations in the context of the management system standard or other normative document; and</p> <p>g) evaluate if the internal audits and management reviews are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for stage 2?</p> <p><i>NOTE If at least part of stage 1 is carried out at the client’s premises, this can help to achieve the objectives stated above.</i></p>	<p>9.3.1.2.2</p>		<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		

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<p>Are documented conclusions with regard to fulfilment of the stage 1 objectives and the readiness for stage 2 communicated to the client, including identification of any areas of concern that could be classified as a nonconformity during stage 2?</p> <p><i>NOTE The stage 1 output does not need to meet the full requirements of a report (see Clause 9.4.8).</i></p>	9.3.1.2.3		<input type="checkbox"/>		
<p>In determining the interval between stage 1 and stage 2, is consideration given to the needs of the client to resolve areas of concern identified during stage 1? The certification body may also need to revise its arrangements for stage 2. If any significant changes which would impact the management system occur, does your certification body consider the need to repeat all or part of stage 1? Is the client informed that the results of stage 1 may lead to postponement or cancellation of stage 2?</p>	9.3.1.2.4		<input type="checkbox"/>		
<p>Stage 2</p> <p>The purpose of stage 2 is to evaluate the implementation, including effectiveness, of the client’s management system. Does the stage 2 shall take place at the site(s) of the client? Does it include the auditing of at least the following:</p> <p>a) information and evidence about conformity to all requirements of the applicable management system standard or other normative documents;</p> <p>b) performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document);</p> <p>c) the client’s management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements;</p> <p>d) operational control of the client’s processes;</p>	9.3.1.3		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		

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<p>e) internal auditing and management review; and f) management responsibility for the client’s policies?</p> <p>Initial certification audit conclusions</p> <p>Does the audit team analyse all information and audit evidence gathered during stage 1 and stage 2 to review the audit findings and agree on the audit conclusions?</p> <p>Conducting audits</p> <p>General</p> <p>Does the certification body have a process for conducting on-site audits? Does this process include an opening meeting at the start of the audit and a closing meeting at the conclusion of the audit?</p> <p>Where any part of the audit is made by electronic means or where the site to be audited is virtual, does your certification body ensure that such activities are conducted by personnel with appropriate competence? Is the evidence obtained during such an audit sufficient to enable the auditor to take an informed decision on the conformity of the requirement in question?</p> <p><i>NOTE : “On-site” audits can include remote access to electronic site(s) that contain(s) information that is relevant to the audit of the management system. Consideration can also be given to the use of electronic means for conducting audits.</i></p>	<p>9.3.1.4</p> <p>9.4</p> <p>9.4.1</p>	<p></p> <p>●</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		

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<p>l) confirmation of the status of findings of the previous review or audit, if applicable;</p> <p>m) methods and procedures to be used to conduct the audit based on sampling;</p> <p>n) confirmation of the language to be used during the audit;</p> <p>o) confirmation that, during the audit, the client will be kept informed of audit progress and any concerns; and</p> <p>p) opportunity for the client to ask questions.</p>			<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		
<p>Communication during the audit</p>	9.4.3				
<p>During the audit, does the audit team periodically assess audit progress and exchange information? Does the audit team leader reassign work as needed between the audit team members and periodically communicate the progress of the audit and any concerns to the client?</p>	9.4.3.1		<input type="checkbox"/>		
<p>Where the available audit evidence indicates that the audit objectives are unattainable or suggests the presence of an immediate and significant risk (e.g. safety), does the audit team leader report this to the client, if possible, to the certification body to determine appropriate action? Such action may include reconfirmation or modification of the audit plan, changes to the audit objectives or audit scope, or termination of the audit. Does the audit team leader report the outcome of the action taken to the certification body?</p>	9.4.3.2		<input type="checkbox"/>		
<p>Does the audit team leader review with the client any need for changes to the audit scope which becomes apparent as on-site auditing activities progress and report this to the certification body?</p>	9.4.3.3		<input type="checkbox"/>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Obtaining and verifying information</p> <p>During the audit, does the auditor of the certification body collect information relevant to the audit objectives, scope and criteria (including information relating to interfaces between functions, activities and processes) by appropriate sampling and verified to become audit evidence?</p> <p>Does the auditor of the certification body use methods to collect information include, but not limited to:</p> <p>a) interviews;</p> <p>b) observation of processes and activities;</p> <p>c) review of documentation and records?</p> <p>Identifying and recording audit findings</p> <p>Are the audit findings summarizing conformity and detailing nonconformity identified, classified and recorded to enable an informed certification decision to be made or the certification to be maintained?</p> <p>Opportunities for improvement may be identified and recorded, unless prohibited by the requirements of a management system certification scheme. Does the auditor of the certification body not to record nonconformities as opportunities for improvement?</p> <p>Does the auditor of your certification body record a finding of nonconformity against requirement of the audit criteria, contain a clear statement of the nonconformity and identify in detail the objective evidence on which the nonconformity is based? Are nonconformities discussed with the client to ensure that the evidence is accurate and that the nonconformities are understood? Does the auditor refrain from suggesting the cause of nonconformities or their solution?</p>	<p>9.4.4</p> <p>9.4.4.1</p> <p>9.4.4.2</p> <p>9.4.5</p> <p>9.4.5.1</p> <p>9.4.5.2</p> <p>9.4.5.3</p>	<p></p> <p></p> <p></p> <p></p> <p></p> <p></p> <p></p>	<p></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>	<p></p> <p></p> <p></p> <p></p> <p></p> <p></p> <p></p>	<p></p> <p></p> <p></p> <p></p> <p></p> <p></p> <p></p>

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does the audit team leader attempt to resolve any diverging opinions between the audit team and the client concerning audit evidence or findings? Are unresolved points recorded?</p>	9.4.5.4		<input type="checkbox"/>		
<p>Preparing audit conclusions</p> <p>Under the responsibility of the audit team leader and prior to the closing meeting, does the audit team:</p> <p>a) review the audit findings, and any other appropriate information obtained during the audit, against the audit objectives and audit criteria and classify the nonconformities;</p> <p>b) agree upon the audit conclusions, taking into account the uncertainty inherent in the audit process;</p> <p>c) identify any necessary follow-up actions; and</p> <p>d) confirm the appropriateness of the audit programme or identify any modification required for future audits (e.g. scope of certification, audit time or dates, surveillance frequency, audit team competence)?</p>	9.4.6		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		
<p>Conducting the closing meeting</p> <p>Does the auditor team of the certification body hold a formal closing meeting with the client's management and, where appropriate, those responsible for the functions or process audited? Is attendance of the closing meeting recorded? The purpose of the closing meeting, which shall normally be conducted by the audit team leader, is to present the audit conclusions, including the recommendation regarding certification. Are all nonconformities presented in such a manner that they are understood, and the timeframe for responding shall be agreed?</p> <p><i>NOTE : "Understood" does not necessarily mean that the nonconformities has been accepted by the client.</i></p>	9.4.7 9.4.7.1		<input type="checkbox"/>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Is the degree of detail consistent with the familiarity of the client with the audit process? Does the closing meeting include the following elements?</p> <p>a) advising the client that the audit evidence collected was based on a sample of the information; thereby introducing an element of uncertainty;</p> <p>b) the method and timeframe of reporting, including any grading of audit findings;</p> <p>c) the certification body’s process for handling nonconformities including any consequences relating to the status of the client’s certification;</p> <p>d) the timeframe for the client to present a plan for correction and corrective action for any nonconformities identified during the audit;</p> <p>e) the certification body’s post audit activities;</p> <p>f) information about the complaint handling and appeal processes?</p>	9.4.7.2		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		
<p>Does the audit team of the certification body give the client opportunity for questions? Any diverging opinions regarding the audit findings or conclusions between the audit team and the client shall be discussed and resolved where possible. Are diverging opinions that are not resolved recorded and referred to the certification body?</p>	9.4.7.3		<input type="checkbox"/>		
<p>Audit report</p> <p>Does the certification body provide a written report for each audit to the client? The audit team may identify opportunities for improvement but shall not recommend specific solutions. Is the ownership of the audit report maintained by the certification body?</p>	9.4.8 9.4.8.1		<input type="checkbox"/>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
q) the audited client is effectively controlling the use of the certification documents and marks, if applicable; and r) verification of effectiveness of taken corrective actions regarding previously identified nonconformities, if applicable.			<input type="checkbox"/> <input type="checkbox"/>		
Does the report contain: a) a statement on the conformity and the effectiveness of the management system together with a summary of the evidence relating to: - the capability of the management system to meet applicable requirements and expected outcomes; - the internal audit and management review process; b) a conclusion on the appropriateness of the certification scope; and c) confirmation that the audit objectives have been fulfilled?	9.4.8.3		<input type="checkbox"/>		
Cause analysis of nonconformities Does your certification body require the client to analyse the cause and describe the specific correction and corrective actions taken, or planned to be taken, to eliminate detected nonconformities, within a defined time?	9.4.9		<input type="checkbox"/>		
Effectiveness of corrections and corrective actions Does your certification body review the corrections, identified causes and corrective actions submitted by the client to determine if these are acceptable? Does your certification body verify the effectiveness of any correction and corrective actions taken? Is the evidence obtained to support the resolution of nonconformities recorded? Is the client informed of an additional full audit, an additional limited audit, or documented evidence (to be confirmed during future audits) will be needed to verify effective correction and corrective actions?	9.4.10		<input type="checkbox"/>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p><i>NOTE : Verification of effectiveness of correction and corrective action can be carried out based on a review of documented information provided by the client, or where necessary, through verification on-site. Usually this activity is done by a member of the audit team.</i></p>					
<p>Certification decision</p>					
<p>General</p>					
<p>Does your certification body ensure that the persons or committees that make the decisions for granting certification, expanding or reducing the scope of certification, suspending or restoring certification, withdrawing certification or renewing certification are different from those who carried out the audits? Does the individual(s) appointed to conduct the certification decision have appropriate competence?</p>					
<p>Is the person(s) [excluding members of committees (see Clause 6.1.4)] assigned by the certification body to make a certification decision employed by, or under legally enforceable arrangement with either the certification body or an entity under the organisational control of the certification body? Does your certification body's organisational control has one of the following:</p>	<p>9.5.1.2</p>		<p><input type="checkbox"/></p>		
<p>a) whole or majority ownership of another entity by the certification body;</p>			<p><input type="checkbox"/></p>		
<p>b) majority participation by the certification body on the board of directors of another entity; and</p>			<p><input type="checkbox"/></p>		
<p>c) 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?</p>			<p><input type="checkbox"/></p>		
<p><i>NOTE : For governmental certification bodies, other parts of the same government can be considered to be "linked by ownership" to the certification body</i></p>					

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
Does the persons employed by, or under contract with, entities under organisational control fulfil the same requirements of this part of ISO/IEC 17021 as persons employed by, or under contract with, the certification body?	9.5.1.3		<input type="checkbox"/>		
Does your certification body record each certification decision including any additional information or clarification sought from the audit team or other sources?	9.5.1.4		<input type="checkbox"/>		
<p>Actions prior to making a decision</p> <p>Does your certification body have a process to conduct an effective review prior to making a decision for granting certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification, including, that</p> <p>a) the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification;</p> <p>b) for any major nonconformities, it has reviewed, accepted and verified the correction and corrective actions; and</p> <p>c) for any minor nonconformities it has reviewed and accepted the client’s plan for correction and corrective action?</p>	9.5.2		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		
<p>Information for granting initial certification</p> <p>Does the information provided by the audit team to the certification body for the certification decision include, as a minimum,</p> <p>a) the audit report;</p> <p>b) comments on the nonconformities and, where applicable, the correction and corrective actions taken by the client;</p> <p>c) confirmation of the information provided to the certification body used in the application review (see Clause 9.1.2);</p>	9.5.3 9.5.3.1		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
d) confirmation that the audit objectives have been achieved; and e) a recommendation whether or not to grant certification, together with any conditions or observations?			<input type="checkbox"/> <input type="checkbox"/>		
If your certification body is not able to verify the implementation of corrections and corrective actions of any major nonconformity within 6 months after the last day of stage 2, does your certification body conduct another stage 2 prior to recommending certification?	9.5.3.2		<input type="checkbox"/>		
When a transfer of certification is envisaged from one certification body to another, does the accepting certification body have a process for obtaining sufficient information in order to take a decision on certification? <i>NOTE : Certification schemes can have specific rules regarding the transfer of certification</i>	9.5.3.3		<input type="checkbox"/>		
Information for granting recertification Does your certification body make decisions on renewing certification based on the results of the recertification audit, as well as the results of the review of the system over the period of certification and complaints received from users of certification?	9.5.4		<input type="checkbox"/>		
Maintaining certification General Does your certification body maintain certification based on demonstration that the client continues to satisfy the requirements of the standard? It may maintain a client's certification based on a positive conclusion by the audit team leader without further independent review, provided that	9.6 9.6.1		<input type="checkbox"/> <input type="checkbox"/>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>a) for any major nonconformity or other situation that may lead to suspension or withdrawal of certification, the certification body has a system that requires the audit team leader to report to the certification body the need to initiate a review by competent personnel (see Clause 7.2.8), different from those who carried out the audit, to determine whether certification can be maintained; and</p> <p>b) competent personnel of the certification body monitor its surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity is operating effectively.</p>			<p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		
<p>Surveillance activities</p>	9.6.2	●			
<p>General</p>	9.6.2.1				
<p>Does your certification body develop its surveillance activities so that representative areas and functions covered by the scope of the management system are monitored on a regular basis, and take into account changes to its certified client and its management system?</p>	9.6.2.1.1		<p><input type="checkbox"/></p>		
<p>Do surveillance activities include on-site audits assessing the certified client's fulfilment of specified requirements with respect to the standard to which the certification is granted? Other surveillance activities may include</p>	9.6.2.1.2		<p><input type="checkbox"/></p>		
<p>a) enquiries from the certification body to the certified client on aspects of certification,</p> <p>b) reviewing any client's statement with respect to its operations (e.g. promotional material, website),</p> <p>c) requests to the client to provide documents and records (on paper or electronic media), and</p> <p>d) other means of monitoring the certified client's performance.</p>			<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
Does your recertification audit include the review of previous surveillance audit reports and consider the performance of the management system over the most recent certification cycle?	9.6.3.1.2		<input type="checkbox"/>		
Would recertification audit activities have a stage 1 audit in situations where there have been significant changes to the management system, the client, or the context in which the management system is operating (e.g. changes to legislation)?	9.6.3.1.3		<input type="checkbox"/>		
<i>NOTE : Such changes can occur at any time during the certification cycle and the certification body might need to perform a special audit (see Clause 9.6.4), which might or might not be a two-stage audit.</i>					
Recertification audit	9.6.3.2	●			
Does the recertification audit include an on-site audit that addresses the following:	9.6.3.2.1		<input type="checkbox"/>		
a) the effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification; and			<input type="checkbox"/>		
b) demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance;			<input type="checkbox"/>		
c) the effectiveness of the management system with regard to achieving the certified client’s objectives and the intended results of the respective management system (s)?			<input type="checkbox"/>		
For any major nonconformity, does your certification body define time limits for correction and corrective actions. Are these actions implemented and verified prior to the expiration of certification?	9.6.3.2.2		<input type="checkbox"/>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>When recertification activities are successfully completed prior to the expiry date of the existing certification, is the expiry date of the new certification based on the expiry date of the existing certification? Is the issue date on a new certificate on or after the recertification decision?</p>	9.6.3.2.3		<input type="checkbox"/>		
<p>If the certification body has not completed the recertification audit or the certification body is unable to verify the implementation of corrections and corrective actions for any major nonconformity (see Clause 9.5.2.1) prior to the expiry date of the certification, is recertification not recommended and the validity of the certification not extended? The client shall be informed and the consequences shall be explained?</p>	9.6.3.2.4		<input type="checkbox"/>		
<p>Following expiration of certification, your certification body can restore certification within 6 months provided that the outstanding recertification activities are completed, otherwise at least a stage 2 shall be conducted. Is the effective date on the certificate on or after the recertification decision and the expiry date based on prior certification cycle?</p>	9.6.3.2.5		<input type="checkbox"/>		
<p>Special audits</p>	9.6.4				
<p>Expanding scope</p> <p>Does your certification body, in response to an application for expanding the scope of a certification already granted, undertake a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted? (This may be conducted in conjunction with a surveillance audit.)</p>	9.6.4.1		<input type="checkbox"/>		
<p>Short-notice audits</p> <p>It may be necessary for the certification body to conduct audits of certified clients at short notice or unannounced to investigate complaints, or in response to changes, or as follow up on suspended clients. In such cases:</p>	9.6.4.2		<input type="checkbox"/>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
a) does your certification body describe and make known in advance to the certified clients (e.g. in documents as described in 8.5.1) the conditions under which such audits will be conducted, and			<input type="checkbox"/>		
b) does your certification body exercise additional care in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members?			<input type="checkbox"/>		
Suspending, withdrawing or reducing the scope of certification	9.6.5				
Does your certification body have a policy and documented procedure(s) for suspension, withdrawal or reduction of the scope of certification, and specify the subsequent actions by the certification body?	9.6.5.1		<input type="checkbox"/>		
Does your certification body suspend certification in cases when, for example,	9.6.5.2		<input type="checkbox"/>		
- the client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system;			<input type="checkbox"/>		
- the certified client does not allow surveillance or recertification audits to be conducted at the required frequencies; or			<input type="checkbox"/>		
- the certified client has voluntarily requested a suspension?			<input type="checkbox"/>		
Under suspension, is the client's management system certification temporarily invalid?	9.6.5.3		<input type="checkbox"/>		
Does your certification body restore the suspended certification if the issue that has resulted in the suspension has been resolved? Failure to resolve the issues that have resulted in the suspension in a time established by the certification body shall result in withdrawal or reduction of the scope of certification.	9.6.5.4		<input type="checkbox"/>		
<i>NOTE : In most cases the suspension would not exceed 6 months.</i>					

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body reduce the scope of certification to exclude the parts not meeting the requirements, when the certified client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification? Is any such reduction in line with the requirements of the standard used for certification?</p>	9.6.5.5		<input type="checkbox"/>		
<p>Appeals</p>	<p>9.7</p>				
<p>Does your certification body have a documented process to receive, evaluate and make decisions on appeals?</p>	9.7.1		<input type="checkbox"/>		
<p>Is your certification body responsible for all decisions at all levels of the appeals-handling process? Does your certification body ensure that the persons engaged in the appeals-handling process are different from those who carried out the audits and made the certification decisions?</p>	9.7.2		<input type="checkbox"/>		
<p>Do submission, investigation and decision on appeals not result in any discriminatory actions against the appellant?</p>	9.7.3		<input type="checkbox"/>		
<p>Does the appeals-handling process include at least the following elements and methods:</p> <ul style="list-style-type: none"> a) an outline of the process for receiving, validating and investigating the appeal, and for deciding what actions need to be taken in response to it, taking into account the results of previous similar appeals; b) tracking and recording appeals, including actions undertaken to resolve them; and c) ensuring that any appropriate correction and corrective action are taken? 	9.7.4		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
Is your certification body receiving the appeal responsible for gathering and verifying all necessary information to validate the appeal?	9.7.5		<input type="checkbox"/>		
Does your certification body acknowledge receipt of the appeal and provide the appellant with progress reports and the result of the appeal?	9.7.6		<input type="checkbox"/>		
Is the decision to be communicated to the appellant made by, or reviewed and approved by, individual(s) not previously involved in the subject of the appeal?	9.7.7		<input type="checkbox"/>		
Does your certification body give formal notice to the appellant of the end of the appeals-handling process?	9.7.8		<input type="checkbox"/>		
Complaints	9.8				
Is your certification body responsible for all decisions at all levels of the complaints-handling process?	9.8.1		<input type="checkbox"/>		
Does submission, investigation and decision on complaints not result in any discriminatory actions against the complainant?	9.8.2		<input type="checkbox"/>		
Upon receipt of a complaint, the certification body shall confirm whether the complaint relates to certification activities that it is responsible for and, if so, does your certification body deal with it? If the complaint relates to a certified client, then does examination of the complaint consider the effectiveness of the certified management system?	9.8.3		<input type="checkbox"/>		
Is any valid complaint about a certified client referred by the certification body to the certified client in question at an appropriate time?	9.8.4		<input type="checkbox"/>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body have a documented process to receive, evaluate and make decisions on complaints? Is this process subject to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint?</p>	9.8.5		<input type="checkbox"/>		
<p>Does the complaints-handling process include at least the following elements and methods:</p> <p>a) an outline of the process for receiving, validating, investigating the complaint, and for deciding what actions need to be taken in response to it;</p> <p>b) tracking and recording complaints, including actions undertaken in response to them;</p> <p>c) ensuring that any appropriate correction and corrective action are taken?</p> <p><i>NOTE : ISO 10002 provides guidance for complaints handling.</i></p>	9.8.6		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		
<p>Is your certification body receiving the complaint responsible for gathering and verifying all necessary information to validate the complaint?</p>	9.8.7		<input type="checkbox"/>		
<p>Whenever possible, does your certification body acknowledge receipt of the complaint, and provide the complainant with progress reports and the result of the complaint?</p>	9.8.8		<input type="checkbox"/>		
<p>Is the decision to be communicated to the complainant made by, or reviewed and approved by, individual(s) not previously involved in the subject of the complaint?</p>	9.8.9		<input type="checkbox"/>		
<p>Whenever possible, does your certification body give formal notice of the end of the complaints-handling process to the complainant?</p>	9.8.10		<input type="checkbox"/>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
j) related records necessary to establish the credibility of the certification, such as evidence of the competence of auditors and technical experts; and			<input type="checkbox"/>		
k) audit programmes?			<input type="checkbox"/>		
Does your certification body keep the records on applicants and clients secure to ensure that the information is kept confidential? Are records transported, transmitted or transferred in a way that ensures that confidentiality is maintained?	9.9.3		<input type="checkbox"/>		
Does the certification body have a documented policy and documented procedures on the retention of records? Are records retained for the duration of the current cycle plus one full certification cycle?	9.9.4		<input type="checkbox"/>		
<i>NOTE : In some jurisdictions, the law stipulates that records need to be maintained for a longer time period.</i>					
MANAGEMENT SYSTEM REQUIREMENTS FOR CERTIFICATION BODIES	10				
Options	10.1				
The certification body shall establish and maintain a management system that is capable of supporting and demonstrating the consistent achievement of the requirements of ISO/IEC 17021. In addition to meeting the requirements of Clauses 5 to 9, the certification body shall implement a management system in accordance with either			<input type="checkbox"/>		
a) general management system requirements (see Clause 10.2), or			<input type="checkbox"/>		
b) management system requirements in accordance with ISO 9001 (see Clause 10.3).			<input type="checkbox"/>		
Which option has the certification body adopted?				State Option A or B	

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
Option A: General management system requirements					
General					
Does your certification body establish, document, implement and maintain a management system that is capable of supporting and demonstrating the consistent achievement of the requirements of ISO/IEC 17021-1?	10.2 10.2.1		<input type="checkbox"/>		
Does your 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 ISO/IEC 17021-1? Does the top management ensure that the policies are understood, implemented and maintained at all levels of the certification body's organisation?			<input type="checkbox"/>		
Does certification body's top management appoint a member of management who, irrespective of other responsibilities, have responsibility and authority that include			<input type="checkbox"/>		
a) ensuring that processes and procedures needed for the management system are established, implemented and maintained, and			<input type="checkbox"/>		
b) reporting to top management on the performance of the management system and any need for improvement?			<input type="checkbox"/>		
Management system manual All applicable requirements of ISO/IEC 17021-1 shall be addressed either in a manual or in associated documents. Does the certification body ensure that the manual and relevant associated documents are accessible to all relevant personnel?	10.2.2		<input type="checkbox"/>		

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ISO/IEC 17021-1:2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
c) resource needs; and d) revisions of the organisation's policy and objectives?			<input type="checkbox"/> <input type="checkbox"/>		
Internal audits	10.2.6				
Does your certification body establish procedures for internal audits to verify that it fulfils the requirements of ISO/IEC 17021-1, and that the management system is effectively implemented and maintained? <i>NOTE : ISO 19011 provides guidelines for conducting internal audits.</i>	10.2.6.1		<input type="checkbox"/>		
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?	10.2.6.2		<input type="checkbox"/>		
Are internal audits performed at least once every 12 months? The frequency of internal audits may be reduced if the certification body can demonstrate that its management system continues to be effectively implemented according to ISO/IEC 17021-1 and has proven stability.	10.2.6.3		<input type="checkbox"/>		
Does your certification body ensure that <ul style="list-style-type: none"> a) internal audits are conducted by qualified personnel knowledgeable in certification, auditing and the requirements of ISO/IEC 17021-1; 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; and e) any opportunities for improvement are identified? 	10.2.6.4		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		

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ISO/IEC 27006: 2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
REQUIREMENTS FOR CERTIFICATION BODIES					
<p>IS 5.2 Conflicts of interest</p> <p>Does your certification body provide internal information security reviews of the client’s ISMS subject to certification?</p> <p>Is your certification body independent from the body or bodies (including any individuals) which provide the internal ISMS audit of the client organisation’s ISMS subject to certification?</p>	5.2.1		<input type="checkbox"/> <input type="checkbox"/>		
<p>7.1 Competence of Personnel</p> <p>IS 7.1.1 General consideration</p> <p>Generic competence requirements</p> <p>Does your certification body have knowledge of the technological, legal and regulatory developments relevant to the ISMS of the client which it assesses?</p> <p>Does your certification body define the competence requirements for each certification function as referenced in Table A.1 of ISO/IEC 17021-1?</p> <p>Does your certification body take into account all the requirements specified in ISO/IEC 17021-1 and 7.1.2 and 7.2.1 of this International Standard that are relevant for the ISMS technical areas as determined by your certification body?</p> <p><i>NOTE Annex A provides a summary of the competence requirements for personnel involved in specific certification functions.</i></p>	7.1.1.1	●	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		

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ISO/IEC 27006: 2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>IS 7.1.2 Competence requirements for ISMS auditing</p> <p>Competence requirements for ISMS auditing</p> <p>General requirements</p> <p>Does your certification body have criteria for verifying the background experience, specific training or briefing of audit team members that ensures at least the following?</p> <p>a) knowledge of information security;</p> <p>b) technical knowledge of the activity to be audited;</p> <p>c) knowledge of management systems;</p> <p>d) knowledge of the principles of auditing;</p> <p><i>NOTE Further information on the principles of auditing can be found in ISO 19011.</i></p> <p>e) knowledge of ISMS monitoring, measurement, analysis and evaluation.</p> <p>Do above requirements a) to e) apply to all auditors being part of the audit team (with the exception of b), which can be shared among auditors being part of the audit team)?</p> <p>Are your audit teams competent to trace indications of information security incidents in the client’s ISMS back to the appropriate elements of the ISMS?</p> <p>Do your audit teams have appropriate work experience of the items above and practical application of these items (this does not mean that an auditor needs a complete range of experience of all areas of information security, but the audit team as a whole shall have enough appreciation and experience to cover the ISMS scope being audited)?</p>	<p>7.1.2.1</p> <p>7.1.2.1.1</p>	<p>●</p> <p>●</p>	<p></p> <p></p> <p></p> <p></p> <p></p> <p></p> <p></p> <p></p> <p></p> <p></p>	<p></p> <p></p> <p></p> <p></p> <p></p> <p></p> <p></p> <p></p> <p></p> <p></p>	<p></p> <p></p> <p></p> <p></p> <p></p> <p></p> <p></p> <p></p> <p></p> <p></p>

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ISO/IEC 27006: 2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Information security management terminology, principles, practices and techniques</p> <p>Do all members of your each audit team have the following knowledge collectively?</p> <p>a) ISMS specific documentation structures, hierarchy and interrelationships;</p> <p>b) information security management related tools, methods, techniques and their application;</p> <p>c) information security risk assessment and risk management;</p> <p>d) processes applicable to ISMS;</p> <p>e) the current technology where information security may be relevant or an issue.</p> <p>Does every auditor fulfil a), c) and d)?</p>	7.1.2.1.2	●	<input type="checkbox"/> <input type="checkbox"/>		

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ISO/IEC 27006: 2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Client products, processes and organisation</p> <p>Do auditors involved in ISMS auditing have the following knowledge collectively?</p> <p>a) the impact of organisation type, size, governance, structure, functions and relationships on development and implementation of the ISMS and certification activities, including outsourcing;</p> <p>b) complex operations in a broad perspective;</p> <p>c) legal and regulatory requirements applicable to the product or service.</p>	7.1.2.1.6	●	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		
<p>Competence requirements for leading the ISMS audit team</p> <p>In addition to the requirements in 7.1.2.1, do audit team leaders fulfill the following requirements as demonstrated in audits under guidance and supervision?</p> <p>a) knowledge and skills to manage the certification audit process and the audit team;</p> <p>b) demonstration of the capability to communicate effectively, both orally and in writing.</p>	7.1.2.2	●	<input type="checkbox"/> <input type="checkbox"/>		
<p>Competence requirements for conducting the application review</p>	7.1.2.3	●			
<p>Information security management system standards and normative documents</p> <p>Do personnel conducting the application review to determine audit team competence required, to select the audit team members and to determine the audit time have the following knowledge?</p> <p>a) relevant ISMS standards and other normative documents used in the certification process.</p>	7.1.2.3.1	●	<input type="checkbox"/>		

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ISO/IEC 27006: 2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Client business sector</p> <p>Do personnel conducting the application review to determine the audit team competence required, to select the audit team members and to determine the audit time have the following knowledge?</p> <p>a) generic terminology, processes, technologies and risks related to the client business sector.</p>	7.1.2.3.2	●	<input type="checkbox"/>		
<p>Client products, processes and organisation</p> <p>Do personnel conducting the application review to determine audit team competence required, to select the audit team members and to determine the audit time have the following knowledge?</p> <p>a) client products, processes, organisation types, size, governance, structure, functions and relationships on development and implementation of the ISMS and certification activities, including outsourcing functions.</p>	7.1.2.3.3	●	<input type="checkbox"/>		
<p>Competence requirements for reviewing audit reports and making certification decisions</p>	7.1.2.4	●			
<p>General</p> <p>Do personnel reviewing audit reports and making certification decisions have the knowledge that enables them to verify the appropriateness of the scope of certification as well as changes to the scope and their impact on the effectiveness of the audit, in particular the continuing validity of the identification of interfaces and dependencies and the associated risks?</p> <p>Do personnel reviewing audit reports and making the certification decisions have the following knowledge additionally?</p> <p>a) management systems in general;</p> <p>b) audit processes and procedures;</p>	7.1.2.4.1	●	<input type="checkbox"/> <input type="checkbox"/>		

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ISO/IEC 27006: 2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>c) audit principles, practices and techniques.</p> <p>Information security management terminology, principles, practices and techniques</p> <p>Do personnel reviewing audit reports and making the certification decisions have the following knowledge?</p> <p>a) the items listed in 7.1.2.1.2 a), c) and d);</p> <p>b) legal and regulatory requirements relevant to information security.</p> <p>Information security management system standards and normative documents</p> <p>Do personnel reviewing audit reports and making certification decisions have the following knowledge?</p> <p>a) relevant ISMS standards and other normative documents used in the certification process.</p> <p>Client business sector</p> <p>Do personnel reviewing audit reports and making certification decisions have the following knowledge?</p> <p>a) generic terminology and risks related to the relevant business sector practices.</p> <p>Client products, processes and organisation</p> <p>Do personnel reviewing audit reports and making certification decisions have the following knowledge?</p> <p>a) client products, processes, organisation types, size, governance, structure, functions and relationships.</p>	<p>7.1.2.4.2</p> <p>7.1.2.4.3</p> <p>7.1.2.4.4</p> <p>7.1.2.4.5</p>	<p>●</p> <p>●</p> <p>●</p> <p>●</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		

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ISO/IEC 27006: 2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>IS 8.2 ISMS Certification documents</p> <p>Are certification documents signed by an officer who has been assigned such responsibility?</p> <p>Is the version of the Statement of Applicability included in the certification documents?</p>	8.2.1		<input type="checkbox"/> <input type="checkbox"/>		
<p>IS 8.4 Access to organisational records</p> <p>Before the certification audit, does your certification body ask the client to report if any ISMS related information (such as ISMS records or information about design and effectiveness of controls) cannot be made available for review by the audit team because it contains confidential or sensitive information?</p> <p>Does your certification body determine whether the ISMS can be adequately audited in the absence of such information?</p> <p>If your certification body concludes that it is not possible to adequately audit the ISMS without reviewing the identified confidential or sensitive information, does your certification body advise the client that the certification audit cannot take place until appropriate access arrangements are granted?</p>	8.4.1	●	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		
<p>IS 9.1.1 Application readiness</p> <p>Does your certification body require the client to have a documented and implemented ISMS which conforms to ISO/IEC 27001 and other documents required for certification?</p>	9.1.1.1	●	<input type="checkbox"/>		
<p>9.1.3 Audit Programme</p> <p>IS 9.1.3 General</p> <p>Does your audit programme for ISMS audits take the determined information security controls into account?</p>	9.1.3.1	●	<input type="checkbox"/>		

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ISO/IEC 27006: 2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>IS 9.1.3 Audit Methodology</p> <p>Do your certification body's procedures not presuppose a particular manner of implementation of an ISMS or a particular format for documentation and records?</p> <p>Do your certification procedures focus on establishing that a client's ISMS meets the requirements specified in ISO/IEC 27001 and the policies and objectives of the client?</p>	9.1.3.2	●	<input type="checkbox"/> <input type="checkbox"/>		
<p>IS 9.1.3 General preparations for the initial audit</p> <p>Does your certification body require a client to make all necessary arrangements for the access to internal audit reports and reports of independent reviews of information security?</p> <p>Does your certification body require a client to provide the following during stage 1 of the certification audit?</p> <p>a) general information concerning the ISMS and the activities it covers;</p> <p>b) a copy of the required ISMS documentation specified in ISO/IEC 27001 and, where required, associated documentation.</p>	9.1.3.3	●	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		
<p>IS 9.1.3 Review periods</p> <p>Does your certification body certify an ISMS only when it has been operated through at least one management review and one internal ISMS audit covering the scope of certification?</p>	9.1.3.4		<input type="checkbox"/>		
<p>IS 9.1.3 Scope of certification</p> <p>Does your audit team audit the ISMS of the client covered by the defined scope against all applicable certification requirements?</p>	9.1.3.5	●	<input type="checkbox"/>		

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ISO/IEC 27006: 2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body confirm, in the scope of the client ISMS, that clients address the requirements stated in ISO/IEC 27001, 4.3?</p> <p>Does your certification body ensure that the client’s information security risk assessment and risk treatment properly reflects its activities and extends to the boundaries of its activities as defined in the scope of certification?</p> <p>Does your certification body confirm that this is reflected in the client’s scope of their ISMS and Statement of Applicability?</p> <p>Does your certification body verify that there is at least one Statement of Applicability per scope of certification?</p> <p>Does your certification body ensure that interfaces with services or activities that are not completely within the scope of the ISMS are addressed within the ISMS subject to certification and are included in the client organisation's information security risk assessment?</p> <p><i>An example of such a situation is the sharing of facilities (e.g. IT systems, databases and telecommunication systems) with other organisations.</i></p>			<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		
<p>IS 9.1.3 Certification audit criteria</p> <p>Is the ISMS of your clients audited against the criteria in the ISMS standard ISO/IEC 27001?</p> <p><i>Note: Other documents may be required for certification relevant to the function performed.</i></p>	9.1.3.6	●	<input type="checkbox"/>		
<p>IS 9.1.4 Audit time</p> <p>Does your certification body allow auditors sufficient time to undertake all activities relating to an initial audit, surveillance audit or re-certification audit?</p> <p>Does the calculation of overall audit time include sufficient time audit reporting?</p>	9.1.4.1	●	<input type="checkbox"/> <input type="checkbox"/>		

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ISO/IEC 27006: 2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body use Annex B to determine audit time?</p> <p>IS 9.1.5 Multiple sites</p> <p>Does your certification body consider using a sample-based approach to multiple-site certification audit when a client has a number of sites meeting the criteria from a) to c) below?</p> <p>a) all sites are operating under the same ISMS, which is centrally administered and audited and subject to central management review;</p> <p>b) all sites are included within the client’s internal ISMS audit programme;</p> <p>c) all sites are included within the client’s ISMS management review programme.</p> <p>Does your certification body have procedures in place to ensure the following when using a sample-based approach:</p> <p>a) The initial contract review identifies, to the greatest extent possible, the difference between sites such that an adequate level of sampling is determined.</p> <p>b) A representative number of sites have been sampled by the certification body, taking into account:</p>	<p>9.1.5.1.1</p> <p>9.1.5.1.2</p>	<p>●</p> <p>●</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		

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ISO/IEC 27006: 2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>1) the results of internal audits of the head office and the sites; 2) the results of management review; 3) variations in the size of the sites; 4) variations in the business purpose of the sites; 5) complexity of the information systems at the different sites; 6) variations in working practices; 7) variations in activities undertaken; 8) variations of design and operation of controls; 9) potential interaction with critical information systems or information systems processing sensitive information; 10) any differing legal requirements; 11) geographical and cultural aspects; 12) risk situation of the sites; 13) information security incidents at the specific sites.</p> <p>c) A representative sample is selected from all sites within the scope of the client’s ISMS; this selection shall be based upon judgmental choice to reflect the factors presented in item b) above as well as a random element.</p> <p>d) Every site included in the ISMS which is subject to significant risks is audited by the certification body prior to certification.</p> <p>e) The audit programme has been designed in the light of the above requirements and covers representative samples of the scope of the ISMS certification within the three year period.</p> <p>f) In the case of a nonconformity being observed, either at the head office or at a single site, the corrective action procedure applies to the head office and all sites covered by the certificate.</p> <p>Does the audit address the client’s head office activities to ensure that a single ISMS applies to all sites and delivers central management at the operational level?</p> <p>Does the audit address all the issues outlined above?</p>			<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		

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ISO/IEC 27006: 2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>IS 9.1.6 Integration of ISMS documentation with that for other management systems</p> <p>Where documentation is combined (e.g. for information security, quality, health and safety and environment), does your certification body require the ISMS be clearly identified and has appropriate interfaces to the other systems?</p> <p>When combining an ISMS audit with audits of other management systems, does your certification body demonstrate that the audit satisfies all requirements for certification of the ISMS?</p> <p>Do all the elements important to an ISMS appear clearly, and be readily identifiable, in the audit reports?</p> <p>Does your certification body ensure that the quality of the audit is not adversely affected by the combination of the audits?</p>	9.1.6.1	●	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 		
<p>IS 9.2.1 Audit objectives</p> <p>Do audit objectives include the determination of the effectiveness of the management system to ensure that the client, based on the risk assessment, has implemented applicable controls and achieved the established information security objectives?</p>	9.2.1.1	●	<input type="checkbox"/> 		
<p>IS 9.2.2 Audit team</p> <p>Are audit teams formally appointed and provided with the appropriate working documents?</p> <p>Is the mandate given to the audit team clearly defined and made known to your clients?</p> <p>When an audit team only consist of one person, does the person meet all the criteria set out in 7.1.2.1?</p>	9.2.2.1	●	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 		

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ISO/IEC 27006: 2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>IS 9.2.3 Network-assisted audit techniques</p> <p>Does each audit plan identify the network-assisted auditing techniques that will be utilized during the audit, as appropriate?</p> <p><i>Network assisted auditing techniques may include, for example, teleconferencing, web meeting, interactive web-based communications and remote electronic access to the ISMS documentation or ISMS processes. The focus of such techniques should be to enhance audit effectiveness and efficiency and should support the integrity of the audit process.</i></p>	9.2.3.2	●	<input type="checkbox"/>		
<p>IS 9.2.3 Timing of audit</p> <p>Does your certification body agree with the organisation to be audited the timing of the audit which will best demonstrate the full scope of the organisation?</p> <p><i>The consideration could include season, month, day/dates and shift as appropriate.</i></p>	9.2.3.3	●	<input type="checkbox"/>		
<p>IS 9.3.1.1 Initial certification audit</p>	9.3.1	●			
<p>IS 9.3.1.1 Stage 1</p> <p>In this stage of the audit, does your certification body obtain documentation on the design of the ISMS covering the documentation required in ISO/IEC 27001?</p> <p>Does your certification body obtain a sufficient understanding of the design of the ISMS in the context of the client’s organisation, risk assessment and treatment (including the controls determined), information security policy and objectives and, in particular, of the client’s preparedness for the audit?</p> <p>This allows planning for stage 2.</p>	9.3.1.1	●	<input type="checkbox"/> <input type="checkbox"/>		

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ISO/IEC 27006: 2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Are the results of stage 1 documented in a written report?</p> <p>Does your certification body review the stage 1 audit report before deciding on proceeding with stage 2 and for selecting the stage 2 audit team members with the necessary competence?</p> <p>Does your certification body make the client aware of the further types of information and records that may be required for detailed examination during the stage 2?</p>			<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		
<p>IS 9.3.1.2 Stage 2</p> <p>Does your certification body develop an audit plan for the conduct of stage 2 on the basis of findings documented in the stage 1 audit report?</p> <p>Is the following the objectives of the stage 2?</p> <p>a) to confirm that the client adheres to its own policies, objectives and procedures;</p>	9.3.1.2	●	<input type="checkbox"/> <input type="checkbox"/>		
<p>Does the audit focus on the following?</p> <p>The client's:</p> <p>a) top management leadership and commitment to information security policy and the information security objectives;</p> <p>b) documentation requirements listed in ISO/IEC 27001;</p> <p>c) assessment of information security related risks and that the assessments produce consistent, valid and comparable results if repeated;</p> <p>d) determination of control objectives and controls based on the information security risk assessment and risk treatment processes;</p> <p>e) information security performance and the effectiveness of the ISMS, evaluating against the information security objectives;</p>	9.3.1.2.2	●	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		

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ISO/IEC 27006: 2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>b) observations made, both positive (e.g. noteworthy features) and negative (e.g. potential nonconformities);</p> <p>c) comments on the conformity of the client’s ISMS with the certification requirements with a clear statement of nonconformity, a reference to the version of the Statement of Applicability and, where applicable, any useful comparison with the results of previous certification audits of the client.</p> <p>Completed questionnaires, checklists, observations, logs, or auditor notes may form an integral part of the audit report. If these methods are used, are these documents submitted to your certification body as evidence to support the certification decision?</p> <p>Do your audit reports or other certification documentations include information about the samples evaluated during the audit?</p> <p>Do your reports consider the adequacy of the internal organisation and procedures adopted by the client to give confidence in the ISMS?</p> <p>In addition to the requirements for reporting in ISO/IEC 17021-1, 9.4.8, do your reports cover the following?</p> <ul style="list-style-type: none"> - a summary of the most important observations, positive as well as negative, regarding the implementation and effectiveness of the ISMS requirements and IS controls; - the audit team’s recommendation as to whether the client’s ISMS should be certified or not, with information to substantiate this recommendation. 			<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		

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ISO/IEC 27006: 2015 Requirements	Clause	*	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
e) selected requirements of ISO/IEC 27001; f) other selected areas as appropriate.			<input type="checkbox"/> <input type="checkbox"/>		
Does your certification body review the following, as a minimum, in every surveillance? a) the effectiveness of the ISMS with regard to achieving the objectives of the client’s information security policy; b) the functioning of procedures for the periodic evaluation and review of compliance with relevant information security legislation and regulations; c) changes to the controls determined, and resulting changes to the SoA; d) implementation and effectiveness of controls according to the audit programme.	9.6.2.1.2	●	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		
Does your certification body adapt your surveillance programme to the information security issues related to risks and impacts on the client and justify this programme? Surveillance audits may be combined with audits of other management systems. In such cases, does the reporting clearly indicate the aspects relevant to each management system? During surveillance audits, does your certification body check the records of appeals and complaints brought before the certification body and, where any nonconformity or failure to meet the requirements of certification is revealed, that the client has investigated its own ISMS and procedures and taken appropriate corrective action? Does a surveillance report contain, in particular, information on clearing of nonconformities revealed previously and the version of the SoA and important changes from the previous audit? Do your reports arising from surveillance, as a minimum, build up to cover in totality the requirements of 9.6.2.1.1 and 9.6.2.1.2 above?	9.6.2.1.3	●	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		

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Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>The obligations of an accredited or applicant organisation</p> <p>After obtaining accreditation, will your certification body at all times :-</p> <p>(a) conform with the accreditation criteria, including accreditation regulations specified in HKAS 002 and HKCAS SC-04, technical and non-technical requirements and other conditions as specified by HKAS Executive under your terms of accreditation;</p> <p>(b) represent honestly and truthfully to any person concerned that your certification body is only accredited for activities stated in your scope of accreditation;</p> <p>(c) pay such fees and charges as determined by HKAS Executive;</p> <p>(d) endeavour to ensure the accreditation granted by HKAS is not used in a misleading manner;</p> <p>(e) be a legal entity; and</p> <p>(f) conform to the Business Registration Ordinance (Cap 310) and provide a copy-of its business registration certificate to HKAS Executive if such legislation is applicable to the organisation? If your certification body is incorporated or registered outside HKSAR, does your certification body provide a copy of official document showing its name and registered address under the laws of its place of incorporation or registration? For each permanent location where accredited activities are performed, does your certification body provide proof that your certification body has the right to access and perform accredited activities at that permanent location?</p> <p>For any customers for which your certification body performs any accredited activity, does your certification body maintain for such activity a quality standard which is in conformity with the accreditation criteria as set by HKAS?</p> <p>Will your certification body maintain the same quality standard at all times, no matter whether or not the HKAS accreditation symbol is used in the certificate covering the result of such activity?</p>	<p>002 5.1</p> <p>002 5.1 a</p> <p>002 5.1 b</p> <p>002 5.1 c</p> <p>002 5.1 d</p> <p>002 5.1 e</p> <p>002 5.1 f</p> <p>002 5.2</p> <p>002 5.2</p>		<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		

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Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
When making any statement in relation to your certification body's accreditation status in situation where non-accredited activities are mentioned, will your certification body ensure that such a statement is accompanied by a statement indicating which activities are not accredited?	002 5.3		<input type="checkbox"/>		
Does your certification body implement the following accreditation regulation :- "Upon termination of accreditation for all activities of an organisation as specified in a certificate of accreditation, the organisation shall return such certificate of accreditation to HKAS Executive forthwith."?	002 5.4		<input type="checkbox"/>		
Will your certification body cooperate with HKAS Executive and its assessment teams and provide them with full support during an on-site assessment and in any other situation such as to provide all necessary information for assessment of your certification body's competence and conformity with the accreditation criteria?	002 5.5		<input type="checkbox"/>		
Upon the request of HKAS Executive, will your certification body provide HKAS Executive with a copy of the documentary standard for which your certification body seeks HKAS accreditation for use during the assessment?	002 5.5		<input type="checkbox"/>		
Does your certification body ensure that you will not use your accreditation status in such a manner that will bring HKAS or any of its accreditation schemes into disputes, and will not make any statement regarding your accreditation status that HKAS Executive may reasonably consider it to be misleading?	002 5.6		<input type="checkbox"/>		
Does your certification body maintain complete integrity and impartiality in all circumstances?	002 5.7		<input type="checkbox"/>		
Does your certification body issue and implement a pertinent code of conduct for all its directors, officers, employees and other personnel involved in your operation?	002 5.7		<input type="checkbox"/>		

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Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Will the authorised representative report any impropriety or unlawful act of your certification body or any iniquitous management and/or staff to HKAS Executive?</p>	002 5.7		<input type="checkbox"/>		
<p>Will the authorised representative further report immediately any corrupt practice to the ICAC (or similar authority or the police when outside the jurisdiction of the HKSAR)?</p>	002 5.7		<input type="checkbox"/>		
<p>Will your certification body notify HKAS Executive within one calendar month if a new authorised representative has been appointed?</p>	002 5.8		<input type="checkbox"/>		
<p>Will the authorised representative or in his absence, other responsible person of your certification body inform HKAS Executive in writing immediately of any changes or intended changes in your certification body's circumstances which may affect your conformity with relevant accreditation criteria?</p>	002 5.9		<input type="checkbox"/>		
<p>Does your certification body implement the following HKAS regulation on confidentiality :- "An accredited organisation shall pay due regard to the confidentiality of its customer's information and shall make internal rules and guidelines in order to ensure protection of its customer's information. Confidential information about a particular customer shall not be disclosed to a third party without the consent of the customer, except where the law requires such information to be so disclosed. However, an applicant organisation or an accredited organisation shall allow HKAS Executive to examine all its records which are relevant to the scope of accreditation in order to assess its competence and conformity with the relevant accreditation criteria. An applicant organisation and an accredited organisation shall obtain consent from their customers for the disclosure of any relevant information to HKAS."?</p>	002 5.10		<input type="checkbox"/>		
<p>Does your certification body ensure that no unofficial contact with assessors, technical experts and/or AAB members will be made on any matter relating to or in connection with the assessment of any activity for the purpose of granting or maintaining accreditation?</p>	002 5.11		<input type="checkbox"/>		

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Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Are all communications concerning your certification body's assessment made between the authorised representative or his/her representative or its chief executive or his/her representative and HKAS Executive?	002 5.11		<input type="checkbox"/>		
Does your certification body have a clear policy in writing concerning the provision or receipt of advantages by your staff? Does the policy document contain a statement notifying your staff the law under Section 9 of the Prevention of Bribery Ordinance (Cap. 201)? Does your certification body further ensure that the policy is made known to all staff members?	002 5.12		<input type="checkbox"/>		
Does your certification body have a policy and procedure in writing for handling and resolving complaints, disputes and appeals from your customers or other parties?	002 5.13		<input type="checkbox"/>		
Does your certification body keep records of all complaints, disputes and appeals and actions taken for a minimum of 3 years and make available to HKAS Executive for inspection upon request?	002 5.13		<input type="checkbox"/>		
Where a complaint, dispute or appeal received from your customers or other parties raises any doubt on your conformity with your policies or procedures, will your certification body ensure that the relevant areas of your accredited activities are promptly audited?	002 5.14		<input type="checkbox"/>		
If a complaint, dispute or appeal received from your customers or other parties relating to any of your accredited activities is not satisfactorily resolved within 60 days from the date of receipt, will your certification body notify HKAS Executive in writing of this matter?	002 5.15		<input type="checkbox"/>		
Is your certification body aware that any concerned party may lodge complaints with HKAS on any of your accredited activities?	002 5.16		<input type="checkbox"/>		

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Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Upon the request of HKAS Executive, an accredited organisation shall confirm the authenticity or otherwise of a report, certificate or other document purporting to have been issued by it for an accredited activity. Where such a report, certificate or document is found to be a forged document, the organisation shall cooperate with HKAS Executive in the investigation of its cause and taking mutually agreeable steps to prevent recurrence.</p>	002 5.17		<input type="checkbox"/>		
<p>An accredited organisation shall not provide certification service to any other party for any standard used by HKAS as accreditation criteria. HKAS Executive will take immediate action to suspend the accreditation of an accredited organisation in violation of this requirement.</p>	002 5.18		<input type="checkbox"/>		
<p>Use of HKAS accreditation symbols and claims of accreditation status Does your certification body implement the following HKAS regulation :- “An accredited organisation may use the relevant HKAS accreditation symbol as described in HKAS Supplementary Criteria No. 1 and claim its accreditation status provided that the following conditions are complied with :-</p>	002 8.1		<input type="checkbox"/>		
<p>(a) all advertising and promotional materials (including letterheads) shall not, in the opinion of HKAS Executive, give a false or misleading impression regarding the accreditation status of the organisation;</p>	002 8.1 a		<input type="checkbox"/>		
<p>(b) HKAS Supplementary Criteria No. 1 and requirements relevant to the accreditation scheme concerned as described in the relevant specific regulations, are complied with at all times; and</p>	002 8.1 b		<input type="checkbox"/>		
<p>(c) any statement made by the organisation in connection with its accreditation status shall not, in the opinion of HKAS Executive, give a false or misleading impression to any third party of its accreditation status.”?</p>	002 8.1 c		<input type="checkbox"/>		

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Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
(i) outside employment;	HKAS SC-06 2.2i		<input type="checkbox"/>		
(j) relationship with customers, suppliers and contractors;	HKAS SC-06 2.2j		<input type="checkbox"/>		
(k) procedures for reporting suspected violation and established mechanism for the prompt and fair adjudication of alleged violations; and	HKAS SC-06 2.2k		<input type="checkbox"/>		
(l) disciplinary actions to be taken against violations.	HKAS SC-06 2.2l		<input type="checkbox"/>		
Does your certification body determine the contents of the code of conduct in accordance with its circumstances to ensure that all personnel working for it act lawfully, ethically, professionally, and honestly and protect the impartiality, independence and integrity of the organisation?	HKAS SC-06 2.3		<input type="checkbox"/>		
Does your certification body ensure that all personnel including your directors, staff and other personnel working for it understand and practise the code of conduct?	HKAS SC-06 3.1		<input type="checkbox"/>		
Has your certification body provided training to all personnel as part of the orientation training when they join the organisation and refresher training to all personnel periodically thereafter?	HKAS SC-06 3.2		<input type="checkbox"/>		
Does your certification body periodically remind all personnel working for it the code of conduct?	HKAS SC-06 3.3		<input type="checkbox"/>		
Is the code of conduct accessible to all personnel working for the organisation?	HKAS SC-06 3.4		<input type="checkbox"/>		
Is the authorised representative aware that he/she shall report any impropriety or unlawful act of the organisation or any iniquitous management and/or staff to HKAS Executive in accordance with HKAS 002 clause 5.7?	HKAS SC-06 3.5		<input type="checkbox"/>		
Does your certification body periodically review the code's suitability and adequacy; and implement improvement as appropriate?	HKAS SC-06 3.6		<input type="checkbox"/>		

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Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Specific regulations for HKCAS					
<p>An assessment team may, at its discretion, carry out an on-site witnessing on your certification body while it is performing certification audits for which your certification body is accredited or seeking accreditation. Does your certification body ensure to seek consent from and explain to your customers concerning the presence of the assessment team in such certification audits?</p>	HKCAS SC-04 2.1		<input type="checkbox"/>		
<p>Does your certification body further assure your customers that the presence of the assessment team during the certification audits will not affect the outcome of the audits?</p>	HKCAS SC-04 2.1		<input type="checkbox"/>		
<p>Is your certification body aware that HKAS Executive will conduct a reassessment on the accredited activities of your certification body every three years after the accreditation has been granted?</p>	HKCAS SC-04 2.2		<input type="checkbox"/>		
<p>Is your certification body aware that HKAS Executive may also conduct a surveillance visit to your certification body routinely every six months and HKAS Executive has discretion to vary the period for reassessment and surveillance visit as it sees fit?</p>	HKCAS SC-04 2.3		<input type="checkbox"/>		
<p>Is your certification body aware that upon granting of the accreditation to your certification body for a type of certification activity, HKAS Executive will issue a certificate of HKCAS accreditation for such certification activity to your certification body?</p>	HKCAS SC-04 2.4		<input type="checkbox"/>		
<p>Does your certification body at all times conform with the following HKCAS accreditation criteria :-</p> <ul style="list-style-type: none"> (a) HKAS 002 - Regulations for HKAS Accreditation, (b) Relevant HKCAS Supplementary Criteria, (c) Relevant HKAS Supplementary Criteria, (d) Relevant IAF requirements as specified in IAF documents including Mandatory Documents and Resolutions, and (e) Relevant PAC requirements as specified in PAC documents including Technical Documents and Resolutions 	HKCAS SC-04 3.1		<input type="checkbox"/>		

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Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body ensure that it shall not use its accreditation status in a way that may be interpreted by any person that any product, process, system or person certified by your certification body has been approved by HKAS or HKAS Executive? Will your certification body further endeavour to ensure that the organisations certified will implement the certified system at all time?</p>	HKCAS SC-04 3.2		<input type="checkbox"/>		
<p>If your certification body intends to subcontract any part of your accredited activities, does your certification body ensure that the subcontracted certification body is competent to perform the activities, e.g. by using a subcontractor who is accredited by HKAS or an accreditation body which has concluded a mutual recognition arrangement/agreement with HKAS?</p>	HKCAS SC-04 3.4		<input type="checkbox"/>		
<p>Does your certification body notify the customer in writing of your intention to subcontract the activities, the extent of such subcontract and the name of the subcontractor?</p>	HKCAS SC-04 3.4		<input type="checkbox"/>		
<p>Does your certification body further ensure that your customer agrees to such arrangement?</p>	HKCAS SC-04 3.4		<input type="checkbox"/>		
<p>Does your certification body keep all records of such subcontracted activities?</p>	HKCAS SC-04 3.4		<input type="checkbox"/>		
<p>Does your certification body have enforceable arrangements with each organisation holding a HKCAS accredited certificate which commit it to allow, on request, HKAS assessment teams to witness the certification body's audit teams performing audits, including access to its premises for doing so?</p>	HKCAS SC-04 3.5		<input type="checkbox"/>		
<p>Does your certification body provide to HKAS a list of countries that HKAS accredited certificates have been issued by the certification body? Any change to this list is considered to be circumstances that may affect conformity with relevant accreditation criteria.</p>	HKCAS SC-04 3.6		<input type="checkbox"/>		

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Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Does your certification body provide information as specified from time to time by HKAS?	HKCAS SC-04 3.7		<input type="checkbox"/>		
Will the authorised representative of your certification body, within 14 days from the effective date of any suspension or termination (voluntarily or by HKAS Executive), inform your customers of activities for which the accreditation has been suspended or terminated in writing of such suspension or termination?	HKCAS SC-04 4.1		<input type="checkbox"/>		
Is your certification body aware that HKAS Executive may report the details of such suspension or termination in the next issue of the HKCAS Directory of Accredited Certification Bodies and the website of HKAS?	002 2.10		<input type="checkbox"/>		
Is your certification body aware that every certification body accredited under HKCAS will be awarded with a distinctive HKCAS accreditation symbol?	HKCAS SC-04 5.1		<input type="checkbox"/>		
Does your certification body implement the following HKAS regulation :-	HKCAS SC-04 5.2		<input type="checkbox"/>		
“An organisation which is certified by an HKAS accredited certification body may use the HKCAS accreditation symbol of such certification body (subject to regulations set out in HKAS 002) to demonstrate to the public that it has been certified by a competent and impartial certification body accredited by HKAS.”?					
Does your certification body issue accredited management system certificates for certification services within its scope of accreditation? (If your certification body has obtained more than one accreditation, the certificate shall be issued with at least one accreditation)	HKCAS SC-04 5.3		<input type="checkbox"/>		
Does your certification body issue accredited management system certificates bearing HKCAS accreditation symbol or statement as specified in 5.3 of HKCAS SC-04?					

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Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Does your certification body provide the format of your proposed certificate with the HKCAS accreditation symbol to HKAS Executive for approval before use?	HKCAS SC-04 5.4		<input type="checkbox"/>		
Is your certification body aware that a HKAS accredited certification body may use its HKCAS accreditation symbol on its stationery, documents, publications and its advertisements, subject to the regulations set out in HKAS SC-01 and any other relevant requirements as specified from time to time by HKAS?	HKCAS SC-04 5.5		<input type="checkbox"/>		
Does your certification body ensure that the form, size, colour and usage of the HKCAS accreditation symbol are in accordance with the HKAS SC-01?	HKCAS SC-04 5.6		<input type="checkbox"/>		
Does your certification body use distinctly different certification marks for different certification services (such as Products, Quality Management System) and shall avoid confusion between the meanings of its marks?	HKCAS SC-04 5.7		<input type="checkbox"/>		
Does your certification body ensure NOT to use the HKCAS accreditation symbol on any stationary, documents, publications and unless those stationary, documents, publications and advertisements relate in whole or in part to your accredited certification body's scope of accreditation?	HKCAS SC-04 5.8		<input type="checkbox"/>		
Does your certification body ensure that where an organisation is certified by your certification body, such certified organisation may use the HKCAS accreditation symbol in conjunction with the certification symbol of your certification body provided that any use of the accreditation symbol is subject to the regulations set out in HKAS SC-01, HKCAS SC-04 and any other relevant HKCAS requirements as specified from time to time by HKAS?	HKCAS SC-04 5.9		<input type="checkbox"/>		
Does your certification body ensure that organisations certified for management system will NOT use the certification mark on a product, product packaging or a test certificate, or in any way that may be interpreted by any person as suggesting product certification?	HKCAS SC-04 5.10		<input type="checkbox"/>		

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Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body ensure that the HKCAS accreditation symbol will not be used by any of your certified organisations on any stationery, documents, publications and advertisements unless those stationery, documents, publications and advertisements are related in whole or in part to the your scope of accreditation and to the certification scope of the organisation?</p>	<p>HKCAS SC-04 5.11</p>		<input type="checkbox"/>		
<p>Does your certification body ensure that your certified organisations will only use the HKCAS accreditation symbol together with your certification symbol in such a manner as set down in HKAS SC-01 and any other relevant HKCAS Supplementary Criteria?</p>	<p>HKCAS SC-04 5.12</p>		<input type="checkbox"/>		
<p>Does your certification body ensure NOT to use the HKCAS accreditation symbol in any way that may be interpreted by any person as suggesting that HKAS Executive has certified or approved the activities of your certified organisations, or in any way which may have a misleading effect? Will your certification body also take reasonable steps to ensure that your certified organisations will not use the HKCAS accreditation symbol in such a way?</p>	<p>HKCAS SC-04 5.13</p>		<input type="checkbox"/>		
<p>Does your certification body ensure that if the accreditation in relation to any activity under your scope of accreditation is suspended or terminated, your certification body will immediately cease to use and to distribute any certificate, stationery, document, publication and advertisement which bear the accreditation symbol, unless such certificate, stationery, document, publication or advertisement bearing the accreditation symbol relate in whole or in part to your certification body's valid scope of accreditation?</p>	<p>HKCAS SC-04 5.14</p>		<input type="checkbox"/>		
<p>If the accreditation for a certification system of your certification service is suspended or terminated, will your certification body take all steps to ensure that your certified organisations cease to use the HKCAS accreditation symbol unless it is used in activities related in whole or in part to certification services of which the accreditation is not suspended or terminated?</p>	<p>HKCAS SC-04 5.15</p>		<input type="checkbox"/>		
<p>Does your certification body ensure that application for any HKCAS service from HKAS is made in appropriate forms?</p>	<p>HKCAS SC-04 6.1</p>		<input type="checkbox"/>		

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Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Specific regulations for ISMS Certification Accreditation Scheme under HKCAS					
<p>Is a contract signed between the client organisation and your certification body to confer the latter the authority to carry out its responsibility in accordance with HKCAS 003, ISO/IEC 27006 and this document?</p>	HKCAS SC-08 3.1		<input type="checkbox"/>		
<p>Does your certification body define the competence criteria for personnel responsible for each function in the management and performance of audits and certification, such as conducting application review, selecting and verifying the competence of ISMS auditors, briefing and arranging training of ISMS auditors, auditing, leading the audit team, reviewing audit reports and making certification decisions?</p>	HKCAS SC-08 4.1		<input type="checkbox"/>		
<p>Does your certification body apply the requirements in Annex A of HKCAS 003 and Sections 7.1.2 and 7.2.1 of ISO/IEC 27006? Is your certification body able to demonstrate that your personnel comply with such criteria through a proper appraisal system and the evidence is kept?</p>			<input type="checkbox"/>		
<p>Does your certification body implement a system to monitor the performance of its personnel involved in the ISMS audit, including lead auditors, auditors and technical experts?</p>	HKCAS SC-08 4.2		<input type="checkbox"/>		
<p>Does your certification body perform on-site performance evaluation for ISMS audit for every auditor and lead auditor at least once every three years?</p>			<input type="checkbox"/>		
<p>Does the evaluation cover all aspects of the activities that the auditors have been authorised by your certification body to perform?</p>			<input type="checkbox"/>		
<p>Does your certification body take corrective actions if there is any doubt on their competence?</p>			<input type="checkbox"/>		

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Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>A technical expert may be included in the audit team. He/she provides technical support to an auditor or the team. Although a technical expert needs not be trained on auditing techniques, does your certification body ensure a technical expert has the required qualification, experience and technical knowledge on the activities to be audited? During an ISMS audit, do technical experts work under the direction and close supervision of a qualified auditor or a lead auditor?</p>	HKCAS SC-08 4.3		<input type="checkbox"/>		
<p>The audit team may include a trainee auditor who works under close supervision of a qualified lead auditor or auditor. Is the responsibility assigned to him/her less than the level for a qualified auditor?</p>	HKCAS SC-08 4.4		<input type="checkbox"/>		
<p>Does your certification body include all names and geographic locations of a certified organisation covered by a certification in the certification document?</p>	HKCAS SC-08 5.1		<input type="checkbox"/>		
<p>Are activities carried out in each geographic location covered by a certification clearly specified in the certification documents?</p>			<input type="checkbox"/>		
<p>Does your certification body specify the information to be provided by a client organisation which applies for its certification such as relevant information of the client organisation, desired scope and boundaries of the certification, documented statements of the information security policy and objectives, description of the risk assessment process, the statement of applicability, all outsourced processes, information concerning the use of consultancy relating to the management system?</p>	HKCAS SC-08 6.1		<input type="checkbox"/>		
<p>To ensure that essential information will not be missed out, does your certification body design an application form which lists all the information required from the client organisation?</p>			<input type="checkbox"/>		
<p>Upon receiving an application, does your certification body review and check whether sufficient information has been provided by the client organisation and ask for supplementary information if necessary?</p>	HKCAS SC-08 6.2		<input type="checkbox"/>		

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Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body have an effective system for the analysis of their own competencies in information security management to ensure that it has the competence and ability required for each technical area in the certification process?</p>	<p>HKCAS SC-08 6.3</p>		<input type="checkbox"/>		
<p>Does your certification body conduct such competence analysis for each client organisation before performing the application review?</p>			<input type="checkbox"/>		
<p>Does your certification body record details of the analysis and the outcome?</p>			<input type="checkbox"/>		
<p>Does stage 1 audit take place at the site(s) of the client organisation? Does your certification body record the justification if it has determined that the stage 1 audit is not required to be conducted at the sites(s) of the client organisation?</p>	<p>HKCAS SC-08 6.4</p>		<input type="checkbox"/>		
<p>Does your certification body examine the implementation of a client organisation's ISMS in the stage 1 audit to determine whether and when the organisation is ready for the stage 2 audit?</p>	<p>HKCAS SC-08 6.5</p>		<input type="checkbox"/>		
<p>Does your certification body determine the interval between stage 1 and stage 2 audits and only conduct stage 2 audit after the findings identified in the stage 1 audit have been adequately resolved by the client organisation? As in general, client organisations will need some time to adequately resolve findings identified in the stage 1 audit, scheduling the stage 1 and stage 2 audits back to back is not recommended.</p>			<input type="checkbox"/>		
<p>Is the interval between stage 1 and stage 2 audits and its justification recorded?</p>			<input type="checkbox"/>		
<p>Does your certification body repeat stage 1 audit if changes to a client organisation's ISMS have rendered the information collected in the original stage 1 audit invalid?</p>			<input type="checkbox"/>		

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Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body have documented procedures for determining the amount of time required for any initial audit (stage 1 and stage 2), surveillance audit and re-certification audit?</p> <p>Does the determination of audit duration meet the requirements specified in Annex B of ISO/IEC 27006?</p> <p>Does your certification body certification body follow the guidelines for calculation of audit time given in Annex C of ISO/IEC 27006?</p> <p>Is the audit duration determined by your certification body and the justification for the determination recorded?</p>	<p>HKCAS SC-08 6.6</p>		<input type="checkbox"/>		
<p>Does your certification body evaluate whether the client organisation has relevant and sound analysis of information security related threats to information assets, vulnerabilities to and the likelihood of a threat materialising to information assets and the potential impact of any information security incident on information assets and whether appropriate procedures are properly implemented within the ISMS to manage the findings?</p> <p>Does your certification body ensure that the client organisation has applied appropriate risk assessment process and the repeated risk assessments performed by the client organisation produced consistent, valid and comparable results?</p>	<p>HKCAS SC-08 6.7</p>		<input type="checkbox"/>		
<p>Does your certification body ensure that the levels or risk acceptance identified by the client organisation fulfil its business objectives?</p> <p>Reference to ISO/IEC 27005 which provides guidelines for information security risk management in an organisation may be made.</p>			<input type="checkbox"/>		
<p>Does your certification body ensure that the client organisation has selected and implemented appropriate controls to ensure risks are reduced to an acceptable level?</p>	<p>HKCAS SC-08 6.8</p>		<input type="checkbox"/>		

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Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body evaluate whether the selected controls can mitigate risks as required by the risk treatment plan?</p> <p>An applicant or accredited certification body is recommended to make reference to applicable guideline standards in the ISO/IEC 27000 series, e.g. ISO/IEC 27002, ISO/IEC 27003, ISO/IEC 27004, ISO/IEC 27005, ISO/IEC 27017, ISO/IEC 27018 or other recognised standards or guidelines on information security management controls and implementation.</p> <p>Does your certification body ensure that the client organisation defined the maximum interval between risk assessments and an appropriate time interval for conducting ISMS internal audit and management review?</p> <p>Does your certification body record the justification for accepting the time intervals?</p> <p>Where your certification body offers multiple-site certification, does your certification body have documented procedures for multiple-site sampling audit in accordance with ISO/IEC 27006 and IAF MD 1?</p> <p>Does your certification body record the justification for the sampling plan of a multiple-site sample audit?</p> <p>Where the ISMS audit is to be combined with audits of other management systems, for example, quality management system (QMS) and environment management system (EMS), is your certification body able to demonstrate that the ISMS audit complies with all requirements as specified in ISO/IEC 27006 and with all relevant HKAS accreditation criteria?</p> <p>Does your certification body ensure that the scope and boundaries of the ISMS are clearly defined by the client organisation and stated in the certification documents?</p>	<p>HKCAS SC-08 6.9</p> <p>HKCAS SC-08 6.10</p> <p>HKCAS SC-08 6.11</p> <p>HKCAS SC-08 6.12</p>		<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		

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Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body ensure that the scope and boundaries defined by the client organisation fulfil and be consistent with its policies and objectives?</p> <p>Does your certification body evaluate if the client organisation applies appropriate controls over the scope and boundary before conducting the stage 2 audit?</p> <p>Is exclusion of controls applicable to the scope boundary not allowed unless such exclusion does not affect the client organisation's ability, and/or responsibility, to provide information security that meets the security requirements determined by risk assessment and applicable legal or regulatory requirements?</p> <p>Certification decisions may be made by a staff member or a committee. In case the certification decision is made by a committee, does your certification body ensure that the committee members who make the decision on granting/withdrawing a certification have a level of knowledge and experience sufficient for making a sound decision based on the results or information obtained from the auditing processes?</p> <p>Does your certification body have documented procedures and criteria for the committee to make certification decisions?</p> <p>Are the committee members trained on the decision criteria? Are detailed records of the factors considered by the committee and the deliberation kept?</p>	<p>HKCAS SC-08 6.13</p>		<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		

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Regulations for HKAS Accreditation	Clause	OK	Supporting Document	Remarks / Questions to be asked at certification body
<p>Are the requirements against which the management system are assessed unambiguously specified? Does the elements as described below are present in the certification scheme?</p> <ul style="list-style-type: none"> - Policy - Planning - Implementation and Execution - Assessment of Performance - Improvement - Management Review <p>An applicant or accredited certification body shall conform to all the requirements of ISO/IEC 17021-1. If the certification scheme contains additional requirements to a certification body, do these requirements deviate from the requirements of ISO/IEC 17021-1?</p> <p>With respect to the certification audit magnitude, HKAS uses the principles as set out in relevant IAF Guidance or Mandatory documents (i.e. IAF MD 5). Is the auditing effort of the certification scheme less extensive than indicated in this IAF document? (This will normally not be accepted for accreditation.)</p> <p>Does the certification scheme describe the system of monitoring on certificates issued? Does the monitoring consist of surveillance and recertification audits as stipulated in Clauses 9.6.2 and 9.6.3 of ISO/IEC 17021-1?</p> <p>Does the certification scheme describe in which manner the audit results are to be interpreted and the consequences associated with the results? This also means which non-conformities would preclude certification, or would be a cause for suspending or withdrawing the certificate shall be described.</p> <p>An objective of management system certification may be to ensure compliance with regulatory requirements. If this is the case failure to comply with these requirements, is it considered as reasons for not issuing a certificate or for suspension or withdrawal of a certificate?</p>	HKCAS SC-11 4.2	<input type="checkbox"/>		
	HKCAS SC-11 4.3	<input type="checkbox"/>		
	HKCAS SC-11 4.4	<input type="checkbox"/>		
	HKCAS SC-11 4.5	<input type="checkbox"/>		
		<input type="checkbox"/>		

Regulations for HKAS Accreditation	Clause	OK	Supporting Document	Remarks / Questions to be asked at certification body
The certificate issued based on the certification audit shall be in line with the audit conducted. Does the certificate shall unambiguously describe the type of management system that was certified?	HKCAS SC-11 4.6	<input type="checkbox"/>		