Dutch Accreditation Council (RvA)

Explanation of the requirements for conformity assessment schemes

Document code:	**RvA-T033-UK** **Version 5, 20 February 2018**

A RvA-Explanatory note describes the policy and/or the procedures of the RvA concerning a specific field of accreditation. In case the policy and/or procedures for a specific field of accreditation as described in a RvA Explanatory note, is documented by EA, ILAC or IAF, the RvA will bring its policy and procedures in line with the EA, ILAC or IAF-document.
A current version of the Explanatory is available through the website of the RvA. (www.rva.nl).

Contents

1 Introduction 4

2 The concept of ‘scheme’ 5

3 Explanation of the requirements 7

4 Changes compared with the previous version 17

Annex 1: Explanation of the self-assessment report 18

1 Introduction

Conformity assessment bodies (CABs) perform conformity assessments against specified requirements or specifications according to specified methods and procedures. According to the terminology of EN ISO/IEC 17000, specified requirements or specifications and specified methods and procedures are part of a so-called 'conformity assessment scheme' (hereinafter referred to as 'scheme'). The policy rules of the RvA, as been recorded in RvA-BR002, amongst others, specify that the RvA, for the purpose of processing an application, for (the extension of) accreditation needs to get conformation that the CAB meets the requirements. Before the RvA starts an assessment to do so, the CAB should confirm meeting the requirements by means of a self-assessment. The result of the self-assessment shall be submitted to the RvA with the application for accreditation. In case of an application for accreditation for a scheme, the CAB shall also perform a self-assessment and provide the results to the RvA.

This explanatory document (RvA-T033 hereinafter referred to as 'T033'), explains the criteria that are especially relevant for a self-assessment of a scheme. In the process of assessment of an application for (extension of) accreditation (see RvA-BR002), the RvA evaluates the scheme based on the data provided by the CAB. This evaluation has to provide insight in the ability of the CAB that uses the scheme to comply with the accreditation requirements.

This document applies to CABs that apply for accreditation, or are already accredited, based on policy rule RvA-BR002. Whether this document is relevant for a given application for accreditation is further explained in paragraph 2.2.

Chapter 2 gives an explanation of the conceptual framework relevant for this document; the concept of 'conformity assessment scheme' is also further explained. The requirements for schemes are explained in chapter 3.

This document is derived from the relevant standards that are used for the accreditation of CABs and from the European application document EA-1/22[1]. Where relevant the requirements of EN ISO/IEC 17011 for accreditation bodies (ABs) and applicable mandatory documents or other documents by EA, IAF and ILAC, and Regulation (EU)765/2008, are explained if they are working in requirements on schemes.

The way the RvA handles the evaluations of schemes is laid down in policy rule RvA-BR012.

Users of this document are expected to be familiar with the terms used in relation to accreditation and conformity assessment in general and the terms used in RvA-BR002, EN ISO/IEC 17000 and the series of 170xx standards in particular. Familiarity with the terms used in Regulation (EU)765/2008 is also expected.

[1] EA-1/22 has been published by the European co-operation for Accreditation (EA) and has to be applied by the AB's evaluation of schemes. The RvA has included the requirements from EA-1/22 in this T033.

2 The concept of 'scheme'

2.1 Conformity assessment scheme

A conformity assessment scheme is understood to mean a documented and publicly available set of requirements which govern the following:

1. the what of the conformity assessment in the form of:
   - identification of the subject of the conformity assessment, such as product, process, service, system, competence of a person, installation, sample, batch or (emission) data;
   - the requirements laid down[2], including any possible interpretations thereof, against which the assessment of the subject takes place, such as the certification standard, product, system or process specifications, legal requirements, official standard[3], other normative documents, customer specifications, sector standards, etc. Requirements are described in a clear, direct and precise manner and result in an accurate and uniform interpretation, so that parties that use the scheme can derive a common understanding of the meaning and intent of the content of the document. Requirements are written in terms of results or outcomes, together with limits and tolerances where relevant. Requirements are described unambiguously, using words that are objective, logical, valid and specific;
2. the how of the conformity assessment, involving:
   - the way in which the CAB establishes the conformity. Herewith the terms are used as described in EN ISO/IEC 17011 (testing, inspection, auditing, certification, etc.). The scheme also includes an elaboration of the methods and procedures for these activities, such as audit or verification methodology, inspection protocol, test or evaluation methodology, inspection requirement or examination method, and the related required process or procedure descriptions;
   - if applicable, the way in which supervision by the CAB takes place, in terms of for example surveillance frequencies and content and scope of surveillances and reassessments;
3. the who, meaning the type of CAB that performs the conformity assessment activities, in the form of:
   - specifying the type of CAB, such as a testing laboratory, inspection body or certification body;
   - the requirements applicable to the CAB, and any specific application rules or interpretations thereof;
   - additional requirements if applicable, for instance from legislation or sector specific requirements;
   - specific application rules or interpretations of EN ISO/IEC 17011 where applicable.

The degree of detail in which the said elements are set out depends on the intended use of the scheme and the need for harmonisation in the implementation of the conformity assessment. A document that only describes one of the above aspects, such as a normative document or an interpretation document, will not be regarded as a scheme. To which level of

[2] Laboratories usually don't perform an assessment against requirements and don't provide a declaration of conformity.

[3] Official standards are the documents published by an international, regional or national standardisation body (such as ISO, IEC, CEN/CENELEC or NEN) as a normative document (such as ISO, IEC, ISO/IEC, EN or NEN thus not as guidance such as PAS, NPR or NTA).

detail the scheme sets out the requirements of the standard used for accreditation, is to be decided by the scheme developers. However, harmonisation in the application of a conformity assessment benefits by covering all requirements that can significantly affect the outcome of the activity. Topics that are not covered by the scheme or where the requirements of the standard used for accreditation are only met in a general way should be specified by the individual CABs themselves.

2.2 Use of the term 'scheme' and of this explanatory document T033

For the purpose of determining whether a self-assessment of the scheme using T033 is required for the application for accreditation, the RvA distinguishes three types of schemes:

1. in-house scheme: scheme that has been developed by a CAB and only administered by that CAB. The use of T033 depends on the standard used for accreditation:
   - For EN ISO/IEC 17065 and EN ISO/IEC 17024 an in-house scheme that describes 'what', 'how' and 'who' is usually applicable. In those cases T033 is relevant. Also for the certification according to European directives or regulations – unless an external scheme (such as the ERA-scheme) is used - T033 is relevant.
   - For EN ISO/IEC 17021-1 and EN ISO 14065 T033 is used unless certification or validation/verification takes place on requirements published in an official standard as mentioned in paragraph 2.1, and additional documents as published by IAF or EA are also used. So for example T033 is not used for certification according to ISO 9001, for which IAF has published mandatory documents.
   - For EN ISO/IEC 17025 and EN ISO 15189, EN ISO/IEC 17020, EN ISO/IEC 17043, ISO/IEC Guide 34 and EN ISO/IEC 17034 the term 'scheme' is usually not used. In fact, the accredited CABs have in-house schemes in the form of working procedures, method descriptions and the like (possibly based on standards) and therewith giving substance to the 'what', 'how' and 'who' of paragraph 2.1. Because the requirements regarding these elements in the relevant standards used for accreditation are sufficiently clear described; the RvA considers the use of T033 for these standards not relevant.
2. external scheme: a scheme that has been developed by a party that is not a CAB itself; the scheme is used by one or more CABs. For these schemes RvA uses policy rule RvA-BR012 "Evaluation of conformity assessment schemes", in which a self-assessment of the scheme based on T033 is required.
3. common scheme: scheme that has been developed by a CAB that itself uses the scheme but also lets other CABs use the scheme. The use of T033 is the same as the use for in-house schemes; it should be used with the first application for accreditation for the scheme.

3 Explanation of the requirements

3.1 General requirements

3.1.1 Competence in scheme development and administration

All standards that are used for accreditation contain competence requirements for persons involved in conformity assessment activities. These requirements are also applicable to the development of schemes. The CAB has to substantiate that the persons or groups of persons (for example in working groups) that are responsible for the development of schemes are competent regarding the subject of the scheme and regarding the accreditation requirements. This substantiation should confirm that these persons or groups of persons are capable to:

1. explain the relationship between the purpose of the scheme and the extent to which conformity assessment contributes thereto;
2. determine the appropriate conformity assessment activities, given the chosen declaration of conformity, and thereby to apply the principles of ISO/IEC 17000;
3. identify the relevant accreditation requirements.

3.1.2 Validation of a scheme

The purpose of accreditation is to provide confidence in the activities of CABs to the market and to governments. This confidence is based on the demonstration of the accuracy and reliability of the results of conformity assessment activities. The RvA will therefore only grant accreditation for conformity assessments that result in demonstrable accurate and reliable results. The CAB should therefore demonstrate that the scheme has been validated before applying for accreditation; the same applies to changes in a scheme. The validation should demonstrate the purpose of the scheme is reached by the chosen conformity assessment. To this end the validation should include:

1. a clear description of:
   - the purpose of the scheme in terms of the effect that is intended with the output of the conformity assessment,
   - the object of the conformity assessment (management system, process, product, service, person, installation, design, sample, etc.),
   - the requirements[4] used in the conformity assessment, and
   - the method used to determine conformity (test method, audit method, inspection method, examination method, etc.) including the sampling method used;
2. an analysis of the appropriateness of the established requirements and methods, described, including the supervision and surveillance activities if applicable, in relation to the defined purpose of the scheme, and based on this analysis the justification of choices for requirements and methods;
3. the reason justifying the choice of the activities to be carried out for the conformity assessment (certification, inspection, testing, etc.) and the resulting choice of the standard for accreditation of the CAB.

[4] ISO/IEC 17007 provides guidance for the development of standards suited for use in conformity assessment

If the conformity assessment takes place in accordance with a method published by an international, regional or national standardisation body, the analysis of the appropriateness of requirements and methods is not necessary. The correct use of them always has to be demonstrated by the individual CAB. The appropriateness of any additional requirements (additional to the standard for conformity assessment or to the standard used for accreditation) should be demonstrated.

If the purpose of the scheme is to provide confidence that with the fulfilment of requirements of the scheme, legal requirements are met, is (part of), this aspect needs to explicitly be confirmed in the validation of the scheme.

The validation of the scheme should not be limited to the theoretical substantiation of the validity, but should also demonstrate applicability on the basis of tests in practice (this may be a trial period in which the scheme is used outside accreditation or pilot audits or pilot inspections during which the described conformity assessment activities are tested). When changing the scheme, the CAB will once again demonstrate the validity before the amended scheme is allowed to be used under accreditation. The CAB will periodically confirm that the scheme continues to achieve the purpose and the scheme is still valid. The periodicity used depends on the working field, the technical state of the art, developments in standards, legislation, market relations, etc. The CAB has to demonstrate the chosen frequency of this validation is appropriate.

The validation of the scheme also should demonstrate that the scheme does not contain any requirements that contradict to the chosen standard for accreditation, and that no requirements of the chosen standard for accreditation are excluded.

For the different types of conformity assessment activities, the requirements on validation are further explained in the paragraphs 3.2 to and including 3.7 of this chapter.

3.1.3 Additional requirements to the standards for accreditation or to EN ISO/IEC 17011

A scheme can have requirements that are additional to the standards used for accreditation. The assessment of the scheme should demonstrate that the requirements added in the scheme are objective and assessable. It should also be demonstrated that no requirements of the standards, the guidelines or of the application documents the RvA is supposed to use, are excluded or contradicted by the scheme.
A scheme can also contain requirements that are additional to the requirements an accreditation body has to comply with. It is also possible that a scheme gives a specific interpretation or application of these requirements. The assessment of the scheme should demonstrate that these requirements were discussed beforehand with the RvA and that the board of the RvA has confirmed in writing that the requirements, specific interpretations or applications are acceptable. The approval means that the RvA has determined that the requirements, specific interpretations or applications do not conflict with or exclude requirements, specific interpretations or applications that the RvA is supposed to use based on its own policy, the requirements of EN ISO/IEC 17011, (EU)765/2008 or based on the

rules of the EA-MLA, IAF-MLA or ILAC-MRA. The RvA will evaluate whether the accreditation assessment for the scheme is possible from an operational perspective.

3.1.4 Legal requirements in private schemes

Private schemes[5] can be developed with the purpose to determine and have the CAB declare that legal requirements are fulfilled. Such a declaration of conformity should not be regarded as a confirmation to the relevant supervisory authority that legal requirements are met. The value of a declaration of a private party that legal requirements are met should therefore be nuanced and can only be issued under accreditation if the following conditions[6] are met:

1. The CAB has to provide evidence that there is market need for such a declaration.
2. The declaration of conformity (certificate, inspection report, etc.) should not state that legal requirements are met, but state that based on execution of the activities mentioned in the declaration and based on the determined conformity to the specified requirements stated in the declaration there is **justified confidence** that clearly specified legal requirements are met.
3. Such a declaration can of course not make a statement about requirements or results that are not part of the assessment for which the CAB can take responsibility This implies, among other things, that for such a declaration the self-declarations of the manufacturer, or results that have not demonstrably been established within the relevant requirements of the standard used for accreditation can not be used.

For example, a declaration that there is the justified confidence that a construction meets the requirements of the Building decree seems unlikely, since the Building decree includes many requirements for constructions. It is more likely the declaration of conformity states that, based on conformity with specific NEN standards based on for example the results of test activities, there is justified confidence that the construction meets the specific requirements of a given section of the Building decree.

If the scheme contains legal requirements, these should be explicitly identified as such and the scheme should ensure that corrective actions are required for any non-conformity that is found by the CAB against these requirements. Hence the scheme should give interested parties such as the governmental enforcers or customers the confidence that positive declarations of conformity under accreditation indeed do confirm meeting the legal requirements specified in the scheme. This should be supported by the validation of the scheme (see 3.1.2).

3.1.5 Transitional arrangements, new and revised schemes

For a scheme that has first been applied without accreditation a transitional arrangement should be established. This transitional arrangement describes how declarations of

[5] A private scheme is a scheme that in the “government position on conformity assessment and accreditation “(“Kabinetsstandpunt over conformiteitsbeoordeling en accreditatie”) of September 19, 2016 is referred to in “1) Promoting public goals with conformity assessment without a relationship with legislation” and in 2) “Taking voluntary conformity assessment into account in governmental supervision (support of governmental supervision)”.

[6] Most of these requirements apply to conformity assessment in general, but the importance is emphasized for schemes that make use of the assessment of legal requirements.

conformity that have been issued for the scheme without accreditation, can be converted into declarations of conformity under accreditation.

An arrangement should also be drafted to create the possibility for new CABs to start using the scheme and therefore first use the scheme under conditions without accreditation; this to solve the chicken-egg dilemma. This first unaccredited use of the scheme is usually necessary to be able to obtain accreditation (the RvA for example witnesses an audit before accreditation can be granted).

Finally, in case of changes in a scheme, arrangements have to be determined for transition from the old to the new version of the scheme.

3.2 Calibration, (medical) testing, organisation of PTs and production of reference materials.

As explained in paragraph 2.2, the term ‘scheme’ is not generally used in calibration, (medical) testing, organisation of proficiency testing (PT) and the production of reference materials. In fact, the bodies have drawn up their own schemes in the form of working procedures, method descriptions and such (whether or not based on standards) and have therewith given substance to the ‘what’, ‘how’ and ‘who’ of paragraph 2.1. Since the requirements for these aspects have been sufficiently clear described in the relevant standards for accreditation, the RvA does not consider it necessary with regard to these activities to further explain the requirements in these standards used for accreditation.

In the case of an external scheme, the requirements of paragraph 3.1 are relevant.

The requirements for validation of external schemes are sufficiently clear described in the relevant standards used for accreditation and do not need further explanation in this T033. For requirements in the scheme that are additional to the standards used for accreditation, justification of the suitability and the contribution to the purpose of the scheme nevertheless has to be provided.

3.3 Inspection

Also for inspection the term ‘scheme’ is usually not used. In fact inspection bodies have drawn up their own schemes in the form of working procedures, method descriptions and such (whether or not based on standards) and have therewith given substance to the aspects ‘what’, ‘how’ and ‘who’ of paragraph 2.1. In case of an external scheme, the requirements explained in paragraph 3.1, 3.3.1 and 3.3.2, as a minimum, are relevant.

3.3.1 Explanation of the requirements in EN ISO/IEC 17020

A scheme used for inspection activities should describe the following issues (to the criteria of EN ISO/IEC 17020 is referred to in **bold**):

1. The subject of inspection in terms of the product, process, service or installation, or the design thereof, should be clearly defined (**3.1**) in the scheme. Related to this the requirements against which the subject should be assessed, have to be stated.
2. Three types of independence are possible for inspection bodies, namely type A, type B and type C (**4.1.6**). The scheme should specify which type of inspection body should perform the inspection activities.

3. The methods of inspection, including the way sampling or selection of objects has to take place, should be clearly described (**7.1**).
4. The scheme should make harmonized conformity assessment possible by specifying the requirements and the weighing of findings in the judgement (**3.1**, **7.1**). The requirements should be verifiable.

An inspection scheme should not specify a period of validity of an inspection result or assign a control function to an inspection body (that turns the scheme into a product certification scheme). An inspection is time-bound and provides a judgement on the conformity of the subject at the time of inspection. The scheme may specify the need for a new inspection before a given date.

3.3.2 Validation

The validation of an inspection scheme has to support the general aspects mentioned in paragraph 3.1.2 as well as the suitability of the methods and procedures (referred to as *appropriate* in criterion **7.1.3**) in relation to the object of the conformity statement.
For requirements in the scheme that are additional to EN ISO/IEC 17020, substantiation of the suitability and the contribution to the purpose of the scheme should also be provided.

3.4 Certification of products

3.4.1 Explanation of the requirements of EN ISO/IEC 17065

In EN ISO/IEC 17067 - *Fundamentals of product certification and guidelines for product certification schemes* – a product certification scheme **(3.1)** is defined as the rules, procedures and management for carrying out certification for **(3.2)** specified products, to which the same specified requirements, specific rules and procedures apply.
The following documents can be informative for developing and assessments of schemes for product certification:

- ISO/IEC TR 17026 *Conformity assessment – Example of a certification scheme for tangible products*;
- ISO/IEC TR 17028 *Conformity assessment -- Example of a certification scheme for services* (under development);

With the assessment of a scheme the following topics have to be addressed (to the **criteria** of the standard **EN ISO/IEC 17065** is referred to in **bold**):

1. The certificate of conformity issued by the certification body (CB) relates to a clearly identified subject, being a product, process or service (**3.10**, **7.7.1**).
2. The CB should employ a scheme in which the certification activities have been laid down (**7.1.1**). The requirements against which the product, the service or the process is assessed have been clearly specified (**7.1.2**). This is possible by referring to other documents such as legislation, standards or technical specifications. The way in which the requirements are described should make objective determination of conformity possible. Annex B of EN ISO/IEC 17065 applies specifically to the certification of services and processes.
3. Based on requirements **5.2** and **7.1.3** in EN ISO/IEC 17065 a CB should have a mechanism for safeguarding impartiality. Because the content and the management of a scheme has consequences for the impartial execution of certification activities, the

parties that have in interest in the certification activities should be involved in the development and management of the scheme, in a way that is described in **5.2**.

4. If there are requirements on the (quality) management system within the scheme, they should be regarded as supporting. The fact that such requirements have been included in the scheme may not lead to an explicit certificate of conformity for this management system (**4.4.4, 7.7**).
5. If requirements on the competences for personnel are specified in the scheme, these should not contradict the requirements of **6.1** or with the requirements of the relevant standards (for example EN ISO/IEC 17021-1) which, based on the chosen methods of assessment, are applicable.
6. The activities of the CB used to establish conformity (**7.4**) may consist of, for example, testing, inspection and the performance of audits, or combinations of these activities. EN ISO/IEC 17065 (**6.2**) requires the fulfilment of the relevant requirements of EN ISO/IEC 17025, EN ISO/IEC 17020 and/or EN ISO/IEC 17021-1. The scheme should specify the relevant requirements from these standards.
7. A scheme should describe the way in which the results are to be interpreted and what the consequences are of results (**7.4**, **7.5**, **7.6**, **7.10**, **7.11**). This also means that it should be laid down which non-conformities prevent certification or are reason for suspending or withdrawing a certificate . If the scheme provides a form of surveillance.
8. The scheme should describe if, and if yes, the way in which surveillance is implemented (**7.9**). If surveillance exists, the type of product certification scheme under EN ISO/IEC 17067 should be taken into consideration.
9. The declaration of conformity (**7.7**) issued on the basis of the certification evaluation (**7.4.4**) should be in accordance with the assessment carried out. If the certification evaluation for example only consists of the performance of an audit of the management system, the evaluation should not result in a declaration on the conformity of a product.
10. A scheme should describe, if relevant, the way the scope of certification (**3.10, 7.7**) should be defined.
11. Where the certification entitles the use of a certification mark that is owned by or licensed to the scheme owner, for the use of the mark the requirements of EN ISO/IEC 17065 (**4.1.3**) should apply if the use of this mark is a consequence of the certification. If the certificate holder has to fulfil additional requirements set by the scheme owner, these additional requirements are not part of the accreditation assessment.

3.4.2 Validation

The following issues should be addressed in the validation of a product certification scheme:

1. An analysis of the criteria that have been determined for the product should confirm that these criteria are objectively verifiable and correctly understood by interested parties.
2. An analysis of the methods for the evaluation of the product should confirm that with the methods conformity with criteria is established in objective way.
3. If samples are taken, it should be substantiated that the method used for sampling is suitable for the intended reliability of the conformity assessment. This also applies, where applicable, to the frequency of supervision and surveillance activities. Hereto, the risk and relevance of the product characteristics and the production processes should be taken into consideration.
4. If the criteria against which evaluation takes place and/or the methods for product evaluation are laid down in (a part of) a national or international standard, providing

evidence of suitability can be omitted, except that the correct application thereof should be demonstrated by the individual certification body during the accreditation assessment.

5. The acceptance of the choices made in the scheme by the various interested parties as mentioned in **5.2** of EN ISO/IEC 17065, should be demonstrated. The balance between costs of certification and the value of the certificate should be made transparent to the interested parties.
6. In case of schemes for the certification of processes, the validation of the scheme should specifically address the relationship between the process requirements and the output (product or service).

3.5 Management system certification

3.5.1 Explanation of the requirements of EN ISO/IEC 17021-1

A management system certification scheme consists of the specific rules and procedures for certifying a specific management system against specific requirements. The requirements which are applied in assessing these schemes are based on EN ISO/IEC 17021-1. In the self-assessment of a scheme the documents published by ISO should be taken into account (for example ISO-TS 22003, ISO/IEC 27006, ISO/IEC 17021-2) as far as they are relevant for the subject of certification concerned. The following explanations are relevant (the **criteria** from the standard **EN ISO/IEC 17021-1** are shown in **bold**):

1. The requirements against which the management system is assessed should be clearly specified (**8.2.2.e**, **8.5.1.b**) by mentioning the normative documents or other documents where these requirements are expressed.
2. The certification assessment, that is the activity to establish conformity, should consist of an audit. Hereto the requirements in **9.1** to **9.6** always apply. For the extent of an audit the principles from the relevant ISO- or IAF mandatory documents should be used. It is highly unlikely that in a schemes an audit effort may be prescribed that is less comprehensive than what relevant ISO or IAF documents prescribe for similar schemes.
3. If the scheme contains competence requirements for personnel of the CB, these should not contradict the requirements of the relevant parts of the ISO/IEC 17021 series (**7.1** and **7.2**).
4. Based on requirement **5.2.3,** a CB should involve interested parties in safeguarding impartiality. Because the content and the management of a scheme have consequences for the impartial execution of certification activities, the parties that have in interest in the certification activities should be involved in the development and management of the scheme, in a way that has been described in **5.2.3.**
5. If the assurance of compliance with legislation and regulations is (one of) the objective(s) of the management system to be certified, the scheme should describe the way in which the results are to be interpreted in relation to these legal requirements (**9.2.1**. and **9.3.1**) Document EA-7/04 is mandatory for environmental management system certification. The document contains useful information for other schemes on how management system certification relates to compliance to legislation and regulations.
6. The declaration of conformity on the certificate should clearly refer to the normative document on which the certification is based (**8.2.2**). If from the reference to this document it is not unambiguous what the object of certification (type of management system) is, then this should be explicitly stated.

7. Where the certification entitles the use of a mark that is owned by or licensed to the scheme owner, the requirements from **8.3** should apply to this use of the mark if the use of this mark follows directly from the certification. If for the right to use the mark the certificate holder has to fulfil additional requirements set by the scheme owner, these additional requirements are not part of the accreditation assessment.
8. The requirements in **9.6** regarding surveillance and reassessments should be applied in each scheme.

3.5.2 Validation

The validation of a scheme for the certification of management systems should depend on the type of management system and the criteria used. If the scheme uses an official standard as meant in 2.1 (for example ISO 9001) as requirements document and follows the relevant documents published by IAF or the standardisation body concerned, a validation will not be meaningful. Such a scheme is considered valid. The balance between the costs and the level of confidence is acceptable for all interested parties. Each scheme that has been established in a similar manner does not need further validation. For schemes that have additional and/or sector specific requirements added to the official standard, it has to be substantiated that the additional and/or sector-specific requirements do not have a negative effect on the reliability of the certificates.

If the requirements for the management system are not laid down in an official standard as meant in 2.1, the applicability of the requirements should be substantiated. As a minimum this means it should be confirmed that the requirements for the management system are formulated unambiguously (so they can be applied by users in a similar manner). For the methods (method of auditing, method of classifying findings, the use of man-days, competences, etc.) in these schemes it should be established that these are comparable with the methods described in similar international documents (such as the IAF-MDs and the ISO/IEC 17021 series). It is important that demonstration is provided that the interested parties are aware of the consequences of deviations from these international documents and have accepted these.

3.6 Certification of persons

3.6.1 Explanation of the requirements of EN ISO/IEC 17024

The certification of the professional competence of persons takes place according to a certification scheme in which the specific rules and procedures have been laid down for the certification of a specific professional competence. The requirements for such a scheme are described in EN ISO/IEC 17024, chapter 8, *Certification schemes*. The following explanations are relevant for these schemes (relevant **criteria** from the standard **EN ISO/IEC 17024** are shown in **bold**):

1. The certificate of conformity issued by the CB should concern clearly described competences (**3.6**, **8.2**) which are established based on a *job or practice analysis* (**8.4**) performed.
2. The scheme should describe the scope of certification (**8.2.a**) in which the stated professional competence is limited to the competences that have actually been

established. It is possible to choose for a restriction of the professional competence to a certain aspect of a job or function.

3. The requirements, against which the competences of persons are assessed, should be clearly specified. This is possible by referring to other documents, such as legislation or normative documents. The way in which the requirements have been described should allow an objective establishment of conformity. The description of the requirements should be clear and understandable for the target audience (**8.2.e**, **8.3.a**, **8.3.c**, **8.3.d**, **8.3.e**). The requirements for competences should be based on a clear description and analysis of the job and tasks (**8.2.b**, **8.4.e**).
4. The establishment of the competences of persons takes place by one or more forms of examination or some other form of assessment of the competences (**8.3.b**, **8.3.c**, **8.4.b**).
5. The scheme should describe the way in which supervision and recertification are implemented (**8.3.c**, **8.3.a**, **8.3.b**, **9.6.1**). The way supervision and recertification take place should be substantiated by the knowledge of the risks of the decreasing of the professional competence concerned or the professional competence no longer being up to date.
6. The declaration of conformity should be in accordance with the assessment carried out and be within the scope concerned (**3.5**, **8.2.a**, **9.4.8**).
7. The scheme should describe the way in which the results of evaluations prevent certification or are reason for suspending or withdrawing the certificate (**9.4.6**, **8.3.d**, **9.5**).
8. Where the certification entitles the use of a certification mark that is owned by or licensed to the scheme owner, the requirements **9.7.1** should apply to the use of the mark if the use of this mark is a direct consequence of the certification. If for the use of the mark the certificate holder has to fulfil additional requirements set by the scheme owner, these additional requirements are not part of the accreditation assessment.

3.6.2 Validation

Clause **8.5** of EN ISO/IEC 17024 states that a scheme is *reviewed and validated on an ongoing basis*. This scheme validation is different from the validation of examinations as stated in **9.2.4** and **9.3.5** of EN ISO/IEC 17024. In **8.4** the standard states that the *job or practice analysis* gets *updated*. This means the suitability of the scheme (competence requirements, test methods, etc.) should be taken into account regarded at the establishment of the scheme and thereafter on a regular basis in relation to the possible changes in the function. Regarding the systems for supervision and recertification validation should demonstrate that these are effective in relation to the risk of a certificate holder no longer meeting the requirements.

3.7 Validation/verification of greenhouse gases

3.7.1 Explanation of the requirements of EN ISO 14065

A verification scheme for the validation and/or verification of emissions data consists of the specific rules and procedures for the validation and/or verification of emissions data against specific requirements. EN ISO 14065 moreover does not mention schemes, but mentions

programmes. The requirements used in the assessment of schemes are based on EN ISO 14065 (with references to ISO 14064-3) and IAF MD6. The following explanations are relevant for schemes for validation or verification of emissions data (**criteria** from the standard **EN ISO 14065** are shown in **bold**, criteria from *ISO 14064-3* in *italics*):

1. The statement of conformity (**3.3.4, 3.3.**8) of the validation/verification body relates to the fact that the emissions data have been established according to the prescribed requirements and that there are no material errors in the emission statement (**3.1.2**) of the customer. The statement issued on the basis of the validation (**3.3.1**) and/or verification (**3.3.6**) assessment should be in accordance with the assessment carried out (**8.5**)**.**
2. The scheme should unambiguously describe the required degree of reliability of the validation and/or verification statement (**8.2.3**, **8.5**, *ISO 14064-3, 4.3.1 and 4.9*) and how this effects the subsequent assessment.
3. The requirements concerning the way emissions data comes about (the GHG information system, **3.1.4**) should be clearly specified (for further details see EN ISO 14064-1 and 14064-2). These requirements may be set out in legislation (permit), an internal monitoring plan or in an international or national standard or in an other document. They should be referenced in the validation/verification criteria (**8.2.3,** *ISO 14064-3, 4.3.3*).
4. The validation or verification assessment, that is the activity to establish conformity, should consist of an assessment (**8.1** - **8.4**), in which reference will usually be made to the requirements of *ISO 14064-3, clause 4*.
5. The scheme should make clear that competent personnel needs to be involved in the validation/verification and in the independent review, whereby the competence requirements (**6.1-6.3**) also should comply with the requirements of ISO 14066.
6. The scheme should ensure that it is clear to which data the validation and/or verification statement refers. The scheme should also guarantee whether specific qualifications (regarding the conclusions) are applicable (**8.5**, described in detail in *ISO 14064-3, clause 4.9*).
7. A scheme should describe the way in which the results are to be interpreted and what the consequences of the results are. This also means that materiality levels should be recorded and that it should be recorded which other non-conformities prevent validation or verification) (**3.4.7**, **3.4.8**, **8.4**, **8.5**).
8. A scheme should describes the type of emissions and the (industrial) sectors to which the scheme applies, any exclusions in particular being clearly indicated (for guidance see EN ISO 14064-1 or -2). This should be part of the scope of the validation or verification agreement (**8.2.3**).

3.7.2 Validation

The validation of a scheme for validation/verification should depend on the criteria that are used. If the scheme uses an official standard as meant in 2.1 (for example EN ISO 14064-1 or EN ISO 14064-2) to set the requirements and follows the relevant documents published by IAF or ISO, a validation will not be useful. Such a scheme is considered to be already validated. The balance between the costs and the level of confidence is acceptable for all

interested parties. Each scheme that has been established in a similar manner does not need further validation. For schemes that have additional or sector specific requirements added to the official standard, or where specific interpretations are used, it should be established and confirmed that these additional or sector-specific requirements or interpretations do not have a negative effect on the reliability of the certificates.

For the methods (method of validation/verification (including level of assurance, materiality, risk-analysis performing the validation/verification, sampling, method of classifying findings competences, etc.) in these schemes it should be established that deviations of the accepted working methods as to be found in the IAF and the ISO documents do not lead to an impairment of the value of the certificates. It is important that demonstration is provided that the interested parties are aware of the consequences of deviations from these documents and have accepted these.

If the requirements are not laid down in an official standard as meant in 2.1, the applicability of the requirements should be demonstrated. As a minimum this means conformation that the requirements are understood in a in a similar manner by the users of the scheme. For the working methods (method of validation/verification, including level of assurance, materiality, risk-analysis performing the validation/verification, sampling, method of classifying findings, competences, etc.) in these schemes it should be established that's these are comparable to methods laid down in comparable normative documents.

4 Changes compared with the previous version

Annex 1 of this version of T033 has changed compared to version 4 of December 2016. The order of the questions in annex 1 has changed and a few questions were split. Additionally, an explanation for answering the questions is provided for. In part C of annex 1 the cross reference tables for the various standards used for accreditation have been added.

Annex 1 is intended as the model to be used for reporting the self-assessment of a scheme. The use of this model will contribute to an efficient evaluation of the scheme.

Annex 1: Explanation of the self-assessment report

Model for the self-assessment report

The report of the self-assessment of a scheme is to provide insight to the Dutch Accreditation Council (RvA) in the new scheme or the changes in an existing scheme in an efficient and effective way.

Answering the questions by just referring to other documents or elements of the scheme is not sufficient. A description needs to be given, supplemented with a reference of the relevant documents and sections thereof.

Part A of this report consists of questions for which the answers together provide a summarized description of the scheme.

Part B of this report consists of the self-assessment against the requirements that are explained in 3.1 of this RvA-T033. In Part B substantiation on how the requirements are fulfilled, is expected.

Part C of this report consists of the self-assessment against the requirements of the relevant standard used for accreditation. The CAB/scheme-owner provides a summary of the criteria of the standard for which the scheme has additional requirements or a specific interpretation of requirements of the standard.

New schemes always require all parts of the self-assessment report to be completed.

For changes in existing schemes for which the RvA has provided accreditation (that version of the scheme is part of the BR010-list), part A and part B are completed. Wherever possible, the self-assessment is based on the previous self-assessment of the scheme. In addition the consequences of the changes in the scheme are explained. Reporting of Part C for changes in a scheme can be limited to the criteria that are affected by the changes.

This model for the self-assessment report is applicable to the self-assessment by CAB's and external scheme-owners as explained in paragraph 2.2 of this RvA-T033. For regulated schemes for which the external scheme-owner requests the evaluation (article 21 of BR012), this model is also applicable.

The explanation below for answering the questions does not replace the content of chapter 3 of this RvA-T033.

A Information about the scheme

A.1 Which documents does the scheme exist of and which additional documents, if any, have been used for this self-assessment?

Make clear which documents (including version date and/or number) the scheme exists of. These documents have to be submitted with this application.

The documents that substantiate the answers of the subsequent questions, if applicable, have to be submitted too.

If additional documents have been used for this self-assessment, please indicate what documents these are.

A.2 Name of the scheme as it shall be mentioned or is mentioned on the scope of accreditation?

Provide the exact name.

A.3 Which standard is used for the accreditation of the CAB for this scheme?

Choose from: EN ISO/IEC 17020, EN ISO/IEC 17021-1, EN ISO/IEC 17024, EN ISO/IEC 17025, EN ISO/IEC 17065, EN ISO 15189, EN ISO/IEC 17043, EN ISO 17034 or EN ISO 14065

A.4 What is the text of the declaration of conformity, as shall be stated in the report or on the certificate of the CAB?

17065: for example: CAB XXXXX declares that product XXXX of manufacturer NNNN complies to the requirements XXXXXX.

17021-1: for example: CAB XXXX has determined that the quality management system of NNNN complies with the requirements of ISO 9001:2015, for the activities ……

17024: for example: CAB XXX declares that [name person] fulfils the competency requirements of standard/scheme XXXXXX

17020: for example: Inspection body XXXX declares that installation XXXX of NNNN on date xx/xx/xxxx fulfils the requirements as stated in standard/scheme XXXXX

14065: for example: Verification body XXXX declares the greenhouse gas declaration XXXX of NNNN on date xx/xx/xxxx fulfils the requirements as stated in standard/scheme XXXXX, with a materiality of xxx and level of assurance xxxx.

If the scheme has specified different areas/fields of work/scopes, a clear distinction between the areas/scopes has to be made in answering this question.

A.5 What is the specific object of conformity assessment?

17065: for example name the product, service or process that will be certified;

17021-1: for example name the type of management system that will be certified (for instance, quality management system, environmental management system, occupational health management system, asset management system);

17020: for example name the product, process, service or the installation or the design that will be inspected;

17024: for example name the professional competence that will be certified;

14065: for example name the greenhouse gas declaration that will be verified or validated, including the defined materiality and the level of assurance;

17025, 17034, 17043, 15189: for example name the matrix, the products, items that will be examined, tested, calibrated or produced.

If the scheme has specified different areas/fields of work/scopes, a clear distinction between the areas/scopes has to be made in answering this question.

A.6 What are the specific requirements against which the object of the conformity assessment is assessed ?

Describe the specific requirements in terms of the ISO standard or other standard against which the object of conformity is assessed, for example the ISO 9001, EN 13501 or ISO 3834-2. If the requirements are not laid down in a normative document like a NEN or ISO standard, but are laid down in the scheme itself, the requirements have to be summarized so it is made clear against which requirements the object of conformity assessment is assessed.

If the scheme specifies different areas/fields of work/scopes, a clear distinction between the areas/scopes has to be made in answering this question.

If the scheme has an option to prove compliance with specific requirements by an alternative method or get an exemption, the self-assessment has to specify for which specific requirements this is applicable, what the alternative entails and under which conditions this can be obtained/used. This is also applicable for the use of certificates as alternative for assessing specific requirements[7].

A.7 Describe the conformity assessment activities that are used to determine the conformity of the object/subject with the requirements

Use the concepts as described in section 4 and 5 of EN ISO/IEC 17000, where amongst others the following activities are defined: sampling, testing, inspection, audit, peer evaluation, review, attestation, certification.

Make clear which terms the scheme uses in relation to the definitions of ENISO/IEC 17000 if the schemes uses the terms differently from the definitions of EN ISO/IEC 17000.

If the scheme specifies different areas/fields of work/scopes for which different conformity assessment activities apply, a clear distinction between the areas/scopes has to be made in answering this question.

A.8 If the scheme includes surveillance on the conformity of the object by the CAB, describe the method used?

This is relevant in case of certification, where the scheme describes periodic surveillance and/or recertification. Describe the surveillance applicable in the scheme.

Make clear which terms the scheme uses in relation to the definitions of EN ISO/IEC 17000 if the schemes uses the terms differently from the definitions of EN ISO/IEC 17000.

If the scheme has specified different areas/fields of work/scopes for which different conformity assessment activities apply, a clear distinction between the areas/scopes has to be made in answering this question.

[7] For example: the requirement is “xxxx has a register of applicable legislation and legal requirements” and the assessment method is “verify the existence, completeness and actuality of the register” and as an alternative is used “a valid certificate yyy is also sufficient”

A.9 If the procedures also use sampling, describe the basis on which the sampling procedures have been determined?

Describe the sampling procedure and sampling size and explain the theory behind the way samples are taken and the size of the sample in relation to the whole population. If no statistical substantiation with reliability data, can be given at least the consensus between stakeholders on the sampling should be demonstrated.

Where applicable referral to international consensus is possible as is the case for ISO 9001 certification where IAF MD5 is the generally accepted method for calculation audit time.

If the scheme specifies different areas/fields of work/scopes for which different sampling procedures and sampling size apply, a clear distinction between the areas/scopes has to be made in answering this question.

A.10 Which additional requirements and/or specific interpretations of the requirements are given for a CAB in the scheme?

If the scheme gives a specific interpretation to the requirements of a standard used for accreditation or adds additional requirements for a CAB, describe these. For example this can include:

- requirements on time for audits or inspections;
- competency requirements for the personnel of the CAB;
- requirements for the reports of the CAB;
- requirements to participate in specific proficiency testing
- requirements for the CAB to report to the scheme owner periodically;
- requirements for the CAB to have personnel participate in harmonisation, deliberation, raining, etc.

If the scheme has an option to prove compliance with specific requirements by an alternative method or get an exemption, the self-assessment has to specify for which specific requirements this is applicable, what the alternative entails and under which conditions this can be obtained/used (for example competency requirements).

If the scheme specifies different areas/fields of work/scopes for which different additional requirements or specific interpretations of requirements apply, a clear distinction between the areas/scopes has to be made in answering this question.

A.11 Are specific requirements and/ or specific interpretations of the requirements of ISO/IEC 17011 given for way the accreditation body accredits for the scheme?

The specific requirements or specific interpretations on requirements of EN ISO/IEC 17011 for the accreditation body (AB) can include for example:

- competency requirements for the personnel of the AB;
- number of witness audits, inspections, etc. in a given time frame;
- number of assessments in a given time frame;
- content, level of detail of a scope of accreditation.

B Assessment of the scheme against the general requirements

B.1 Competence in scheme development

Describe who has been involved in the development of the (changes of) the scheme. Describe the specific competence of these persons that is relevant for the scheme, both for the specific object of conformity assessment as well as for the standard used for accreditation.

Substantiate that these persons or groups of persons are capable to:

- explain the relationship between the purpose of the scheme and the extent to which conformity assessment contributes thereto;
- determine the appropriate conformity assessment activities, given the chosen declaration of conformity, and thereby to apply the principles of EN ISO/IEC 17000;
- identify the relevant accreditation requirements.

B.2 Validation of the scheme .

In this section, explain the topics that are mentioned in 3.1.2. of T033.

Explain what actions have been taken to determine the scheme is functioning and what the conclusions are of these actions (see also the specific explanation or requirements in paragraphs 3.2 - 3.7 of T033).

The validation should demonstrate the purpose of the scheme is reached by the chosen conformity assessment. To this end the validation should include:

- a clear description of:
  - the purpose of the scheme in terms of the effect that is intended with the output of the conformity assessment;
  - the object of the conformity assessment (management system, process, product, service, person, installation, design, sample, etc.);
  - the requirements used in the conformity assessment and
  - the method used to determine conformity (test method, audit method, inspection method, examination method, etc.) including the sampling method used;
- an analysis of the appropriateness of the established requirements and methods, described, including the supervision and surveillance activities if applicable, in relation to the defined purpose of the scheme, and based on this analysis the justification of choices for requirements and methods;
- the reason justifying the choice of the activities to be carried out for the conformity assessment (certification, inspection, testing, etc.) and the resulting choice of the standard for accreditation of the CAB.

If legal requirements are included into a private scheme, the validation of the schema has to substantiate that the stakeholders such as public inspectorates or customers can have confidence that the accredited positive declarations of conformity indeed confirm the fulfilment of legal requirements of the scheme.

If the scheme is a regulated scheme which is evaluated on request of a Ministry before the version of the scheme is added to the regulation, a test phase for the validation of the scheme is not yet applicable if the scheme has been created for the specific purpose of inclusion in the regulation but has not yet been tested in practice (article 21, section 3, RvA-BR012). This exception only applies to the test phase, not for the complete validation, and is only applicable if the new scheme or the changes in the scheme cannot yet be tested in practice.

B.3 Additional requirements to the standards used for accreditation and/or to ISO/IEC 17011.

Confirm that the requirements of the standards are not set aside and that any additional requirements (see A.10 and A.11 of this self-assessment) do not contradict requirements of the standard used for accreditation and the EN ISO/IEC 17011 (see 3.1.3 of T033).

B.4 Legal requirements in private schemes (not applicable to regulated schemes).

If applicable explain which legal requirements are included in the scheme and how these are recognizable in the scheme. Explain how it ensured that if in the case the CAB determines non-conformities against these legal requirements, corrective measures are required.

If the declaration of conformity only relates to the compliance of legal requirements, explain how the requirements as explained in 3.1.4 of T033 are met.

B.5 Transitional arrangements, new and revised schemes .

Summarize the transitional arrangements as intended in 3.1.5 of T033.

A transitional arrangements has different aspects that need to be taken into account:

- how declarations of conformity that have been issued for the scheme without accreditation, can be converted into declarations of conformity under accreditation;
- an arrangement to create the possibility for new CABs to start using the scheme and therefore first use the scheme under conditions without accreditation, including the maximum period this is allowed and the CAB has to obtain accreditation;
- in case of changes in a scheme, arrangements have to be determined for transition from the old to the new version of the scheme, for the CAB under accreditation and if applicable also for the certificate holders

C Self-assessment against the requirements of the standard used for accreditation

Use the relevant table on the next pages and summarize the specific requirements the scheme applies to the relevant requirement of the standard. If no text is added or "-" is used in the column "Self-assessment", that means the scheme has no specific requirements with regard to that criterion of the standard, and the CAB has to fulfil the complete requirement in her own system. Just stating that a requirement is covered is not sufficient, a description has to be given.

When a scheme is already used under accreditation, the changes in the scheme have to be described in relation to the requirements of the standard in the table below

Remove the tables that are not relevant.

EN ISO 14065:2013

Criterion		Self-assessment
5	General requirements	
5.1	Legal status	
5.2	Legal and contractual matters	
5.3	Governance and management commitment	
5.4	Impartiality	
5.5	Liability and financing	
6	Competencies	
6.1	Management and personnel	
6.2	Competencies of personnel	
6.3	Deployment of personnel	
6.4	Use of contracted validators or verifiers	
6.5	Personnel records	
6.6	Outsourcing	
7	Communication and records	
7.1	Information provided to a client or responsible party	
7.2	Communication of responsibilities to a client or responsible party	
7.3	Confidentiality	
7.4	Publicly accessible information	
7.5	Records	
8	Validation or verification process	
8.1	General	
8.2	Pre-engagement	
8.3	Approach	
8.4	Validation or verification	
8.5	Review and issuance of validation or verification statement	
8.6	Records	
8.7	Facts discovered after the validation or verification statement	
9	Appeals	
10	Complaints	
11	Special validations or verifications	
12	Management system	

EN ISO/IEC 17020:2012

Criterion		Self-assessment
4	General requirements	◘
4.1	Impartiality and independence	
4.1.1	Inspection activities shall be undertaken impartially	
4.1.2	Undue pressures	
4.1.3	Identify risks	
4.1.4	Eliminate or minimize risks	
4.1.5	Top management commitment	
4.1.6	Independence requirements (type A,B or C)	
4.2	Confidentiality	
4.2.1	Management of all information	
4.2.2	Notify client of information provided	
4.2.3	Information obtained from other sources	
5	Structural requirements	◘
5.1	Administrative requirements	
5.1.1	Legal entity	
5.1.2	Identifiable within legal entity	
5.1.3	Documentation describing activities	
5.1.4	Adequate provision to cover liabilities	
5.1.5	Documentation describing contractual conditions	
5.2	Organization and management	
5.2.1	Safeguard impartiality	
5.2.2	Maintain capability to perform activities	
5.2.3	Responsibilities and reporting structures	
5.2.4	Relationship between inspections and other activities	
5.2.5	Technical manager	
5.2.6	Deputising	
5.2.7	Job descriptions	
6	Resource requirements	◘
6.1	Personnel	
6.1.1	Competence requirements	
6.1.2.	Sufficient number of competent persons	
6.1.3.	Appropriate qualifications, training, experience and knowledge	
6.1.4	Duties, responsibilities and authorities	
6.1.5	Documented procedures for selecting, training, authorizing and monitoring	
6.1.6	Documented procedures for training	
6.1.7	Training depending upon ability, qualifications and experience	
6.1.8	Monitoring	
6.1.9	On-site observations	

Criterion		Self-assessment
6.1.10	Records of monitoring, training, experience and authorization	
6.1.11	Remuneration	
6.1.12	Act impartially	
6.1.13	Keep information confidential	
6.2	Facilities and equipment	
6.2.1	Suitable and adequate facilities and equipment	
6.2.2	Rules for access and use	
6.2.3	Continued suitability	
6.2.4	Unique identification	
6.2.5	Maintenance	
6.2.6	Calibration of measurement equipment	
6.2.7	Measurements traceable to (inter)national standards	
6.2.8	Reference standards	
6.2.9	In-service checks	
6.2.10	Reference materials traceable to (inter)national standards	
6.2.11	Procedures for purchase of resources (a-c)	
6.2.12	Condition of stored items	
6.2.13	Use of computers or automated equipment (a-c)	
6.2.14	Defective equipment	
6.2.15	Recording relevant information	
6.3	Subcontracting	
6.3.1	Competency and compliance with relevant requirements	
6.3.2	Informing client of intention to subcontract	
6.3.3	Responsibility for determination of conformity	
6.3.4	Register of subcontractors	
7	Process requirements	◘
7.1	Inspection methods and procedures	
7.1.1	Use methods and procedures defined in requirements	
7.1.2	Documented instructions on planning, sampling and techniques	
7.1.3	Appropriate and fully documented non-standard methods and procedures	
7.1.4	Up-to-date and readily available instructions, procedures etc.	
7.1.5	Contract or work order control system (a-d)	
7.1.6	Integrity of information supplied by other parties	
7.1.7	Timely recording of observations or data	
7.1.8	Calculation and data transfers checks	
7.1.9	Documented safety instructions	
7.2	Handling inspection items and samples	
7.2.1	Unique identification of items and samples	
7.2.2	Preparation of items	

Criterion		Self-assessment
7.2.3	Abnormalities / suitability of items	
7.2.4	Avoid deterioration or damage to items	
7.3	Inspection records	
7.3.1	Record system	
7.3.2	Traceability to inspector	
7.4	Inspection reports and inspection certificates	
7.4.1	Work covered by retrievable inspection report of certificate	
7.4.2	Elements of inspection reports or certificates	
7.4.3	Reference to inspection results	
7.4.4	Reporting information correctly, accurately and clearly	
7.4.5	Corrections or additions	
7.5	Complaints and appeals	
7.5.1	Documented process	
7.5.2	Availability of description of handling process	
7.5.3	Confirmation	
7.5.4	Responsibility	
7.5.5	No discriminatory actions	
7.6	Complaints and appeals process	
7.6.1	Elements and methods	
7.6.2	Validation	
7.6.3	Informing complainants/appellants	
7.6.4	Decision-making	
7.6.5	Formal notice of end	
8	Management system requirements	◘
8.1	Options	
8.1.1	General	
8.1.2	Option A	
8.1.3	Option B	
8.2	Management system documentation	
8.3	Control of documents	
8.4	Control of records	
8.5	Management review	
8.6	Internal audits	
8.7	Corrective actions	
8.8	Preventive actions	
Annex A		
A.1	Requirements for inspection bodies (Type A)	
A.2	Requirements for inspection bodies (Type B)	
A.3	Requirements for inspection bodies (Type C)	

EN ISO/IEC 17021-1:2015

Criterion		Self-assessment
5	General requirements	
5.1	Legal and contractual matters	
5.2	Management of impartiality	
5.3	Liability and financing	
6	Structural requirements	
6.1	Organizational structure and top management	
6.2	Operational control	
7	Resource requirements	
7.1	Competence of personnel	
7.2	Personnel involved in the certification activities	
7.3	Use of individual external auditors and external technical experts	
7.4	Personnel records	
7.5	Outsourcing	
8	Information requirements	
8.1	Public information	
8.2	Certification documents	
8.3	Reference to certification and use of marks	
8.4	Confidentiality	
8.5	Information exchange between a certification body and its clients	
9	Process requirements	
9.1	Pre-certification activities	
9.2	Planning audits	
9.3	Initial certification	
9.4	Conducting audits	
9.5	Certification decision	
9.6	Maintaining certification	
9.7	Appeals	
9.8	Complaints	
9.9	Client records	
10	Management system requirements for certification bodies	
10.1	Options	
10.2	Option A: General management system requirements	
10.3	Option B: Management system requirements in accordance with ISO 9001	

EN ISO/IEC 17024:2012

Criterion		Self-assessment
4	**General requirements**	
4.1	Legal matters	
4.2	Responsibility for decision o certification	
4.3	Management of impartiality	
5	**Structural requirements**	
5.1	Management and organizational structure	
5.2	Structure of the certification body in relation to training	
6	**Resource requirements**	
6.1	General personnel requirements	
6.2	Personnel involved in the certification activities	
6.3	Outsourcing	
6.4	Other resources	
7	**Records and information requirements**	
7.1	Records of applicants, candidates and certified persons	
7.2	Public information	
7.3	Confidentiality	
7.4	Security	
8	**Certification schemes**	
9	**Certification process requirements**	
9.1	Application process	
9.2	Assessment process	
9.3	Examination process	
9.4	Decision on certification	
9.5	Suspending, withdrawing or reducing the scope of certification	
9.6	Recertification process	
9.7	Use of certificates	
9.8	Appeals against decisions on certification	
9.9	Complaints	
10	**Management System requirements**	
10.1	General	
10.2	General management system requirements	

EN ISO/IEC 17025:2005

Criterion		Self-assessment
4	Management requirements	
4.1	Organisation	
4.1.1	Legal entity	
4.1.2	Responsibility of the laboratory	
4.1.3	Scope of the management system	
4.1.4	Identification of potential conflicts of interest	
4.1.5	General requirements	
a	Availability of managerial and technical personnel	
b	Undue pressure	
c	Confidentiality	
d	Undue activities	
e	Organisation and management structure	
f	Responsibilities and authorisation	
g	Supervision	
h	Technical management	
i	Quality manager	
j	Deputies	
k	Awareness of personnel	
4.1.6	Communication by (top) management	
4.2	Quality system	
4.2.1	Setup, documentation, implementation, availability and maintenance	
4.2.2	Policies and objectives	
4.2.3/4	Commitment of top management	
4.2.5	Documentation structure	
4.2.6	Roles and responsibilities of technical management and quality manager	
4.2.7	Ensure integrity of management system upon changes	
4.3	Document control	
4.4	Review of requests, tenders and contracts	
4.5	Subcontracting of tests and/or calibrations	
4.6	Purchasing services and supplies	
4.7	Service to the customer / customer satisfaction	
4.8	Complaints	
4.9	Control of nonconforming testing and/or calibrations	
4.10	Improvement (continual)	
4.11	Corrective action	
4.12	Preventive action (pro-active)	
4.13	Control of records	
4.14	Internal audits	

Criterion		Self-assessment
4.15	Management reviews	
5	Technical requirements	
5.2	Personnel	
5.2.1	Qualification of personnel	
5.2.2	Education and training	
5.2.3	Personnel in permanent employment; supervision of temporary personnel	
5.2.4	Job descriptions	
5.2.5	Specific tasks	
5.3	Accommodation and environmental conditions	
5.4	Test methods and method validation	
5.4.1-4	General, selection and method development	
5.4.5	Validation of methods	
5.4.6	Estimation of uncertainty of measurement	
5.4.7	Management and control of data	
5.5	Equipment	
5.6	Measurement traceability	
5.7	Sampling	
5.8	Handling of items	
5.9	Assuring the quality of test and calibration results	
5.9.1	Quality controls	
5.9.1b	Participation in interlaboratory comparison or PT	
5.9.2	Data analyses of quality controls	
5.10	Reporting	
5.10.1/2	General, test reports and calibration certificates	
5.10.3	Test reports	
5.10.5	Opinions and interpretations	
5.10.6	Test and calibration results from subcontractors	
5.10.7	Electronic transmission of results	
5.10.8	Format of reports and certificates	
5.10.9	Amendments of test reports and calibration certificates	

EN ISO/IEC 17065:2012

Criterion		Self-assessment
4	**General requirements**	
4.1	Legal and contractual matters	
4.1.1	Legal responsibility	
4.1.2	Certification agreement	
4.1.3	Use of license, certificates and marks of conformity	
4.2	Management of impartiality	
4.3	Liability and financing	
4.4	Non-discriminatory conditions	
4.5	Confidentiality	
4.6	Publicly available information	
5	**Structural requirements**	
5.1	Organizational structure and top management	
5.2	Mechanism for safeguarding impartiality	
6	**Resource requirements**	
6.1	Certification body personnel	
6.1.1	General	
6.1.2	Management of competence for personnel involved in the certification process	
6.1.3	Contract with the personnel	
6.2	Resources for evaluation	
6.2.1	Internal resources	
6.2.2	External resources (outsourcing)	
7	**Process requirements**	
7.1	General	
7.2	Application	
7.3	Application review	
7.4	Evaluation	
7.5	Review	
7.6	Certification decision	
7.7	Certification documentation	
7.8	Directory of certified products	
7.9	Surveillance	
7.10	Changes affecting certification	
7.11	Termination, reduction, suspension or withdrawal of certification	
7.12	Records	
7.13	Complaints and appeals	
8	**Management system requirements**	
8.1	Options	
8.1.1	General	
8.1.2	Option A	
8.1.3	Option B	

Criterion		Self-assessment
8.2	General management system documentation (Option A)	
8.3	Control of documents (Option A)	
8.4	Control of records (Option A)	
8.5	Management review (Option A)	
8.6	Internal audits (Option A)	
8.7	Corrective actions (Option A)	
8.8	Preventive actions (Option A)	