

**ISO/IEC 17065:2012  
VERTICAL / FILE REVIEW ASSESSMENT**  
(Please use one (1) form for each file assessed)

Date/s of Evaluation:				
Assessor/s & Observers:				
Certification Body				
Area / Field of Operation:				
Certification Body Representative:				
Applicable Standard / Specification				
Type of Assessment	Initial	Periodic on-site visit	Re-certification	
	NACE Code	EAC Code	Global GAP	
	Other (specify)			
Clause	<b>REQUIREMENTS &amp; COMMENTS</b>			Compliance = C    Non-Compliance = NC
	<p><i>NB:</i> Indicate <i>WHAT</i> has been checked and <i>HOW</i> requirements have been implemented. Assessors are expected to know and have the standard. This form is designed as guidance to prompt detailed recording of the process. <i>REFER TO THE RELEVANT SCHEME / IAF GUIDANCE DOCUMENTS FOR MORE DETAILS</i></p>			
<b>7.7</b>	<b>CERTIFICATION DOCUMENTATION</b>			<b>C</b> <b>NC</b>
7.7.1	Does the client's formal certification documentation clearly conveys or permits identification of the following?			
a)	The name and address of the Certification Body;			
b)	The date certification was granted ;			
c)	The name and address of the client;			
d)	The scope of certification;			
e)	The term or expiry date of certification;			
f)	Any Other information required by the certification scheme.			
7.7.2	Does the formal certification documentation include a signature or other defined authorization of the person(s) of the certification body assigned such responsibility?			

Comments:			
7.7.3	Was the formal certification documentation only issued after or concurrent with the following:		
a)	The decision to grant or extend the scope of certification has been made?		
b)	The certification requirements have been fulfilled?		
c)	The certification agreement has been completed?		
Comments:			
<b>7.2</b>	<b>APPLICATION</b>	<b>C</b>	<b>NC</b>
	Is there a completed application form signed by an authorized person detailing scope of certification?  Is this in accordance with the relevant certification scheme requirements, if applicable?		
Comments:			
<b>7.3</b>	<b>APPLICATION REVIEW</b>	<b>C</b>	<b>NC</b>
	Has the Certification Body conducted a review of the application (Refer to 7.2 above) to ensure that:		
a)	The information about the client and the product is sufficient for the conduct of the certification process?		
b)	Any known difference in understanding between the certification body and the client is resolved including agreement regarding standard or normative document?		
c)	The scope of certification sought is defined?		
d)	The means to perform all evaluation activities are available?		
e)	The Certification Body has the competence and capability to perform the certification activity?		

Comments:			
<b>7.4</b>	<b>EVALUATION</b>	<b>C</b>	<b>NC</b>
7.4.1	Did the Certification Body plan for evaluation activities in order to ensure the necessary arrangements are managed?		
Comments:			
7.4.2	Did the Certification Body assign personnel to perform each evaluation task which it undertakes with its internal resources (refer to 6.2.1)?		
Comments:			
7.4.3	Did the Certification Body ensure all need information and/or documentation was made available for performing the evaluation tasks?		
Comments:			
7.4.4	Did the Certification Body carry out evaluation activities and managed outsourced resources according to the evaluation plan?		
	Were the products evaluated against the requirements covered by the scope of certification and other requirements specified in the certification scheme?		
Comments:			

7.4.5	Does the Certification Body only rely on evaluation results related to certification completed prior to the application for certification where it takes responsibility for the results and satisfies itself that the body that performed the evaluation fulfils the requirements contained in 6.2.2 and those specified by the Certification scheme?		
Comments:			
7.4.6	How does the Certification Body inform the client of all nonconformities?		
Comments:			
7.4.7	If one or more nonconformities have arisen and if the client expresses interest in continuing the certification process, has the Certification Body made provision of information regarding the additional evaluation tasks needed to verify that nonconformities have been corrected?		
Comments:			
7.4.8	If additional evaluation tasks need to be completed and agreed to by the client, has the Certification Body ensured that the specified evaluation process in 7.4 was repeated to complete the additional evaluation tasks?		
Comments:			
7.4.9	Were the results of all evaluation activities documented prior to the review process?		
Comments:			

7.5.	REVIEW	C	NC
7.5.1	<p>Has the Certification Body assigned at least one person to review all the information and results related to the evaluation?</p> <p>Has the Certification Body also ensured that this person was not involved in the evaluation process?</p>		
7.5.2	<p>In cases where the review and certification decision were not completed concurrently by the same person, were recommendations for a certification decision based on the review documented?</p>		
Comments:			
7.6	CERTIFICATION DECISION	C	NC
7.6.1	<p>Is the Certification Body responsible for and how does it retain authority for its decision?</p>		
7.6.2	<p>Has the Certification Body assigned at least one person to make the certification decision based on all the information related to the evaluation, its review and any other relevant information?</p> <p>Has the Certification Body also ensured that this person or group of persons/committee was not involved in the evaluation process?</p>		
7.6.3	<p>Is the person(s) assigned for certification decisions employed by (6.1) or under contract with the Certification Body or an entity under the control of the Certification Body?</p>		
7.6.4	<p>Is the Certification Body's organizational control :</p> <ul style="list-style-type: none"> <li>• Whole or majority ownership of another entity of the Certification Body?</li> <li>• Majority participation by the Certification Body on the board of Directors of another entity? Or</li> <li>• Documented authority by the Certification Body over another entity in a network of legal entities (in which the Certification Body resides) linked by ownership of Board of Directors control?</li> </ul>		
7.6.5	<p>Does ten Certification Body ensure that the persons employed by or under contract with or entities under organizational control fulfil the same requirements of this international standard, as persons being under employment or contract with the Certification Body?</p>		
7.6.6	<p>Does the Certification Body ensured that it notifies the client of a decision not to grant certification?</p> <p>Are the reasons for this decision identified?</p>		

Comments:			
<b>7.8</b>	<b>DIRECTORY OF CERTIFIED PRODUCTS</b>	<b>C</b>	<b>NC</b>
	Does the Certification Body maintain information on certified products which contains at least the following:		
a)	Identification of the product?		
b)	The standard(s) and other normative documents to which conformity has been certified?		
c)	Identification to the client?		
	As a minimum how does the Certification Body provide information, upon request, about the validity of a given certification?		
Comments:			
<b>7.9</b>	<b>PERIODIC ON-SITE VISIT (if Applicable)</b>	<b>C</b>	<b>NC</b>
7.9.1	If periodic on-site visit is required by the certification scheme or as described in sub clauses 7.9.3 or 7.9.4, does the Certification Body initiate periodic on-site visit of the product(s) covered by the certification decision in accordance with the certification scheme?		
7.9.2	When periodic on-site visit utilizes evaluation, review or certification decision, does the Certification Body ensure that requirements in 7.4, 7.5 or 7.6 fulfilled?		
7.9.3	When continuing use of a certification mark is authorized for placement on a product (or its packaging, or information accompanying it) (for process or service, see 7.9.4) of a type which has been certified, how is periodic on-site visit established and does it include periodic on-site visit of marked products to assure ongoing validity of the demonstration of fulfillment of product requirements?		
7.9.4	When continuing use of a certification mark is authorized for a process or service, is periodic on-site visit established and does it include periodic activities to assure ongoing validity of the demonstration of fulfillment of process or service requirements?		
Comments:			

<b>7.10</b>	<b>CHANGES AFFECTING CERTIFICATION</b>	<b>C</b>	<b>NC</b>
7.10.1	<p>When the certification scheme introduces new or revised requirements that affect the client, does the Certification Body ensure that these changes are communicated to all clients?</p> <p>Does the Certification Body verify the implementation the implementation of the changes by its clients and does it take actions required by the scheme?</p>		
7.10.2	Does the Certification Body consider other changes affecting certification including changes initiated by the client and decide upon the appropriate action?		
7.10.3	<p>Do actions to implement changes affecting certification include, if required:</p> <ol style="list-style-type: none"> <li>1. Evaluation (See 7.4)</li> <li>2. Review (See 7.5)</li> <li>3. Decision (See 7.6)</li> <li>4. Formal revised certification document issued to extend or reduce the scope of a certification (See 7.7)</li> <li>5. If periodic on-site visit (See 7.9) is part of the certification scheme?</li> </ol>		
	Do records (See 7.12) include the rationale for excluding any of the above activities?		
Comments:			
<b>7.11</b>	<b>TERMINATION, REDUCTION, SUSPENSION OR WITHDRAWAL OF CERTIFICATION</b>	<b>C</b>	<b>NC</b>
7.11.1	When a nonconformity with certification requirements is substantiated, either as a result of periodic on-site visit or otherwise, how does the Certification Body consider and decide upon the appropriate action?		
7.11.2	When the appropriate action includes evaluation, review or certification decision, does the Certification Body ensure that requirements in 7.4; 7.5 or 7.6 fulfilled?		
7.11.3	<p>When certification is terminated, suspended or withdrawn, does the Certification Body take actions (specified by the scheme) to ensure it provides no indication that the product continues to be certified?</p> <p>When the scope of certification is reduced, does the Certification Body make modifications to formal certification documents, public information, authorization for use of marks, etc. to ensure the scope of certification is clearly communicated to the client and clearly described in certification documentation and public information?</p>		
7.11.4	If certification is suspended, does the Certification Body assign one or more persons to formulate and communicate to the client the actions needed to end suspension and restore certification for the product(s) in accordance with the certification scheme and any other actions required by the scheme?		

	Are these persons competent in their knowledge and understanding of all aspects of the handling of suspended certifications?		
7.11.5	How are any evaluations, reviews or decisions needed to resolve the suspension or that is required by the certification scheme completed in accordance with the applicable parts of sub clauses 7.4; 7.5; 7.6; 7.7.3; 7.9 and 7.11.3?		
7.11.6	How does the Certification Body make the necessary modifications to formal certification documents, public information, authorizations for use of marks, etc. if certification is reinstated after suspension to ensure all appropriate indications exist that the product continues to be certified?  If a decision to reduce the scope of certification is made as a condition of reinstatement, how does the Certification Body make all needed modifications to formal certification documents, public information, authorizations for use of marks, etc. to ensure the reduced scope of certification is clearly communicated to the client and clearly described in certification documentation and public information?		
Comments:			
<b>7.12</b>	<b>RECORDS</b>	<b>C</b>	<b>NC</b>
7.12.1	Does the Certification Body retain records to demonstrate that all certification process requirements (in this International Standard and those of the certification scheme) have been effectively fulfilled?		
7.12.2	Does the Certification Body ensure that records are kept confidential, transported, transmitted and transferred in a way that ensures confidentiality is maintained?		
7.12.3	If the certification scheme involves complete re-evaluation of the product(s) within a determined cycle, are records retained at least for the current and the previous cycle? Or are records retained for a period defined by a Certification Body?		
Comments:			



**Additional / General Comments** *(This space may also be used to expand on comments in specific sections)*

<b>Signed:</b> <b>Technical Assessor:</b>		<b>Date:</b>
<b>Signed :</b> <b>Team Leader</b>		<b>Date:</b>