**Check list for assessment to ISO/IEC 17024: 2012**

Italic text = Summary of ISO/IEC 17024 requirement. Normal text = extract from ISO/IEC 17024

Blue Text = Specific IECEx Requirement

A copy of ISO/IEC 17024 is required when completing this Checklist

**Body under Assessment:**

**IECEx Assessor:**

**Date Completed:**

|  | **Requirements** | **Comply**  **Y / N** | **Doc. Ref / Remarks** |
| --- | --- | --- | --- |
| **1 Scope** | Scope is limited to requirements for a body certifying persons against specific requirements, including development of such schemes |  |  |
| **2 Normative references** | Nil |  | Nil |
| **3 Terms and definitions** | Nil |  | Nil |
| **4 General** | | | |
| **4.1 Legal matters** | *Needs to be a registered business / Legal entity* |  |  |
| **4.2 Responsibility for decision on certification** | *Retain authority for certification. Need to be clear which position in the organization is responsible for making the decision to issue, maintain and extend certification* |  |  |
| **4.3 Management of impartiality** | *Impartiality in certification activities, management of conflict of interest, not restricted by financial pressures, identify threats to impartiality, document and minimize such conflicts, with structure to safeguard impartiality* |  |  |
| **4.3.1** | The certification body shall document its structure, policies and procedures to manage impartiality and to ensure that the certification activities are undertaken impartially. The certification body shall have top management commitment to impartiality in certification activities. The certification body shall have a statement publicly accessible without request that it understands the importance of impartiality in carrying out its certification activities, manages conflict of interest and ensures the objectivity of its certification activities |  |  |
| **4.3.2** | The certification body shall act impartially in relation to its applicants, candidates and certified persons. |  |  |
| **4.3.3** | Policies and procedures for certification of persons shall be fair among all applicants, candidates and certified persons. |  |  |
| **4.3.4** | Certification shall not be restricted on the grounds of undue financial or other limiting conditions, such as membership of an association or group. The certification body shall not use procedures to unfairly impede or inhibit access by applicants and candidates |  |  |
| **4.3.5** | The certification body shall be responsible for the impartiality of its certification activities and shall not allow commercial, financial or other pressures to compromise impartiality |  |  |
| **4.3.6** | The certification body shall identify threats to its impartiality on an ongoing basis. This shall include those threats that arise from its activities, from its related bodies, from its relationships, or from the relationships of its personnel. However, such relationships do not necessarily present a body with a threat to impartiality,.  *Refer Notes from ISO/IEC 17024* |  |  |
| **4.3.7** | The certification body shall analyse, document and eliminate or minimize the potential conflict of interests arising from its certification activities. The certification body shall document and be able to demonstrate how it eliminates, minimizes or manages such threats. All potential sources of conflict of interest that are identified, whether they arise from within the certification body, such as assigning responsibilities to personnel, or from the activities of other persons, bodies or organizations, shall be covered. |  |  |
| **4.3.8** | Certification activities shall be structured and managed so as to safeguard impartiality. This shall include balanced involvement of interested parties (see definition 3.21 |  |  |
| **4.4 Finance and liability** | The certification body shall have the financial resources necessary for the operation of a certification process and have adequate arrangements (e.g. insurance or reserves) to cover associated liabilities |  |  |
| **5 Structural requirements** | | | |
| **5.1 Management and organization structure** | |  |  |
| **5.1.1** | The certification body activities shall be structured and managed so as to safeguard impartiality |  |  |
| **5.1.2** | Organisational structure to describe duties, responsibilities, policies and procedures, resources, development of scheme, decisions, contracts   1. policies and procedures relating to the operation of the certification body; 2. implementation of the policies and procedures; 3. finances of the certification body; 4. resources for certification activities; 5. development and maintenance of the certification schemes; 6. assessment activities; 7. decisions on certification, including the granting, maintaining, recertifying, expanding, reducing, suspending or withdrawing of the certification; 8. contractual arrangements |  |  |
| **5.2 Structure of the certification body in relation to training** | |  |  |
| **5.2.1** | *If completion of training is specified, recognition of the training shall not influence the certification process* |  |  |
| **5.2.2** | The certification body shall provide information regarding education and training if they are used as pre-requisites for being eligible for certification. However, the certification body shall not state or imply that certification would be simpler, easier or less expensive if any specified education/training services are used |  |  |
| **5.2.3** | Offering training and certification for persons within the same legal entity constitutes a threat to impartiality. A certification body that is part of a legal entity offering training shall:   1. identify and document the associated threats to its impartiality on an ongoing basis: the body shall have a documented process to demonstrate how it eliminates or minimizes those threats; 2. demonstrate that all processes performed by the certification body are independent of training to ensure that confidentiality, information security and impartiality are not compromised; 3. not give the impression that the use of both services would provide any advantage to the applicant; 4. not require the candidates to complete the certification body's own education or training as an exclusive prerequisite when alternative education or training with an equivalent outcome exists; 5. ensure that personnel do not serve as an examiner of a specific candidate they have trained for a period of two years from the date of the conclusion of the training activities: this interval may be shortened if the certification body demonstrates it does not compromise impartiality   IECEx Note: A Trainer shall not examine those they have trained |  |  |
| **6 Resource requirements** | | | |
| **6.1 General personnel requirements** | |  |  |
| **6.1.1** | The certification body shall manage and be responsible for the performance of all personnel involved in the certification process |  |  |
| **6.1.2** | The certification body shall have sufficient personnel available with the necessary competence to perform certification functions relating to the type, range and volume of work performed |  |  |
| **6.1.3** | The certification body shall define the competence requirements for personnel involved in the certification process. Personnel shall have competence for their specific tasks and responsibilities. |  |  |
| **6.1.4** | The certification body shall provide its personnel with documented instructions describing their duties and responsibilities. These instructions shall be kept up-to-date. |  |  |
| **6.1.5** | The certification body shall maintain up-to-date personnel records, including relevant information, e.g. qualifications, training, experience, professional affiliations, professional status, competence and known conflicts of interest |  |  |
| **6.1.6** | Personnel acting on the certification body's behalf shall keep confidential all information obtained or created during the performance of the body's certification activities, except as required by law or where authorized by the applicant, candidate or certified person |  |  |
| **6.1.7** | The certification body shall require its personnel to sign a document by which they commit themselves to comply with the rules defined by the certification body, including those relating to confidentiality, impartiality and conflict of interests.  *Refer Note in ISO/IEC 17024* |  |  |
| **6.1.8** | When a certification body certifies a person it employs, the certification body shall adopt procedures to maintain impartiality |  |  |
| **6.2 Personnel involved in the certification activities** | |  |  |
| **6.2.1** | The certification body shall require its personnel to declare any potential conflict of interest in any candidate. |  |  |
| **6.2.2 Requirements for Examiners** | |  |  |
| **6.2.2.1** | Examiners shall meet the requirements of the certification body. The selection and approval processes shall ensure that examiners:   1. understand the relevant certification scheme; 2. are able to apply the examination procedures and documents; 3. have competence in the field to be examined; 4. are fluent, both in writing and orally, in the language of examination; in circumstances where an interpreter or a translator is used, the certification body shall have procedures in place to ensure that it does not affect the validity of the examination; 5. have identified any known conflicts of interest to ensure impartial judgements are made |  |  |
| **6.2.2.2** | The certification body shall monitor the performance of the examiners and the reliability of the examiners' judgements. Where deficiencies are found, corrective actions shall be taken.  *Refer Note to ISO/IEC 17024* |  |  |
| **6.2.2.3** | If an examiner has a potential conflict of interest in the examination of a candidate, the certification body shall undertake measures to ensure that the confidentiality and impartiality of the examination are not compromised. These measures shall be recorded. |  |  |
| **6.2.3 Requirements for other personnel involved in the assessment** | |  |  |
| **6.2.3.1** | The certification body shall have a documented description of the responsibilities and qualifications of other personnel involved in the assessment process (e.g. invigilators). |  |  |
| **6.2.3.2** | If other personnel involved in the assessment have a potential conflict of interest in the examination of a candidate, the certification body shall undertake measures to ensure that confidentiality and impartiality of the examination is not compromised. These measures shall be recorded. |  |  |
| **6.3 Outsourcing** | | | |
| **6.3.1** | The certification body shall have a legally enforceable agreement covering the arrangements, including confidentiality and conflict of interests, with each body that provides outsourced work related to the certification process.  *Refer ISO/IEC 17024 for Notes* |  |  |
| **6.3.2** | When a certification body outsources work related to certification, the certification body shall:   1. take full responsibility for all outsourced work; 2. ensure that the body conducting outsourced work is competent and complies with the applicable provisions of this International Standard; 3. assess and monitor the performance of the bodies conducting outsourced work in accordance with its documented procedures; 4. have records to demonstrate that the bodies conducting outsourced work meet all requirements relevant to the outsourced work; 5. maintain a list of the bodies conducting outsourced work. |  |  |
| **6.4 Other resources** | *Examination sites, equipment, resources* |  |  |
| **7 Records and information requirements** | | | |
| **7.1 Records of applicants, candidates and certified persons** | |  |  |
| **7.1.1** | The certification body shall maintain records. The records shall include a means to confirm the status of a certified person. The records shall demonstrate that the certification or recertification process has been effectively fulfilled, particularly with respect to application forms, assessment reports (which include examination records) and other documents relating to granting, maintaining, recertifying, expanding and reducing the scope, and suspending or withdrawing certification |  |  |
| **7.1.2** | The records shall be identified, managed and disposed of in such a way as to ensure the integrity of the process and the confidentiality of the information. The records shall be kept for an appropriate period of time, for a minimum of one full certification cycle, or as required by recognition arrangements, contractual, legal or other obligations. |  |  |
| **7.1.3** | The certification body shall have enforceable arrangements to require that the certified person informs the certification body, without delay, of matters that can affect the capability of the certified person to continue to fulfil the certification requirements |  |  |
| **7.2 Public information** | |  |  |
| **7.2.1** | The certification body shall verify and provide information, upon request, as to whether an individual holds a current, valid certification and the scope of that certification, except where the law requires such information not to be disclosed |  |  |
| **7.2.2** | The certification body shall make publicly available without request information regarding the scope of the certification scheme and a general description of the certification process |  |  |
| **7.2.3** | All pre-requisites of the certification scheme shall be listed and the list shall be made publicly available without request. |  |  |
| **7.2.4** | Information provided by the certification body, including advertising, shall be accurate and not misleading. |  |  |
| **7.3 Confidentiality** | |  |  |
| **7.3.1** | The certification body shall establish documented policies and procedures for the maintenance and release of information |  |  |
| **7.3.2** | The certification body shall, through legally enforceable agreements, keep confidential all information obtained during the certification process. These agreements shall cover all personnel. |  |  |
| **7.3.3** | The certification body shall ensure that information obtained during the certification process, or from sources other than the applicant, candidate or certified person, is not disclosed to an unauthorized party without the written consent of the individual (applicant, candidate or certified person), except where the law requires such information to be disclosed |  |  |
| **7.3.4** | When the certification body is required by law to release confidential information, the person concerned shall, unless prohibited by law, be notified as to what information will be provided |  |  |
| **7.3.5** | The certification body shall ensure that the activities of related bodies do not compromise confidentiality. |  |  |
| **7.4 Security** | |  |  |
| **7.4.1** | The certification body shall develop and document policies and procedures necessary to ensure security throughout the entire certification process and shall have measures in place to take corrective actions when security breaches occur |  |  |
| **7.4.2** | Security policies and procedures shall include provisions to ensure the security of examination materials, taking into account the following:   1. the locations of the materials (e.g. transportation, electronic delivery, disposal, storage, examination centre); 2. the nature of the materials (e.g. electronic, paper, test equipment); 3. the steps in the examination process (e.g. development, administration, results reporting); 4. the threats arising from repeated use of examination materials. |  |  |
| **7.4.3** | Certification bodies shall prevent fraudulent examination practices by:   1. requiring candidates to sign a non-disclosure agreement or other agreement indicating their commitment not to release confidential examination materials or participate in fraudulent test-taking practices; 2. requiring an invigilator or examiner to be present; 3. confirming the identity of the candidate; 4. implementing procedures to prevent any unauthorized aids from being brought into the examination area; 5. preventing candidates from gaining access to unauthorized aids during the examination; 6. monitoring examination results for indications of cheating |  |  |
| **8 Certification schemes** | **As The Certification Body operates in the IECEx CoPC Scheme, IECEx is considered to be the scheme owner. Thereby the fact that the CB complies with IECEx requirements, they are in compliance with this Clause of ISO/IEC 17024** | | |
| **9 Certification process requirements** | | | |
| **9.1 Application process** | |  |  |
| **9.1.1** | Upon application, the certification body shall make available an overview of the certification process in accordance with the certification scheme. As a minimum, the overview shall include the requirements for certification and its scope, a description of the assessment process, the applicant's rights, the duties of a certified person and the fees. |  |  |
| **9.1.2** | The certification body shall require the completion of an application, signed by the applicant seeking certification, which includes as a minimum the following:   1. information required to identify the applicant, such as name, address and other information required by the certification scheme; 2. the scope of the desired certification; 3. a statement that the applicant agrees to comply with the certification requirements and to supply any information needed for the assessment; 4. any supporting information to demonstrate objectively compliance with the scheme prerequisites; 5. notice to the applicant of his/her opportunity to declare, within reason, a request for accommodation of special needs (see 9.2.5).   *Refer Notes in ISO/IEC 17024* |  |  |
| **9.1.3** | The certification body shall review the application to confirm that the applicant complies with the application requirements of the certification scheme. |  |  |
| **9.2 Assessment process** | |  |  |
| **9.2.1** | The certification body shall implement the specific assessment methods and mechanisms as defined in the certification scheme |  |  |
| **9.2.2** | When there is a change in the certification scheme which requires additional assessment, the certification body shall document and make publicly accessible without request the specific methods and mechanisms required to verify that certified persons comply with changed requirements.  *Refer Note to ISO/IEC 17024* |  |  |
| **9.2.3** | The assessment shall be planned and structured in a manner which ensures that the scheme requirements are objectively and systematically verified with documented evidence to confirm the competence of the candidate. |  |  |
| **9.2.4** | The certification body shall verify the methods for assessing candidates. This verification shall ensure that each assessment is fair and valid. |  |  |
| **9.2.5** | The certification body shall verify and accommodate special needs, within reason and where the integrity of the assessment is not violated, taking into account national regulation [see 9.1.2 e)]. |  |  |
| **9.2.6** | Where the certification body takes into account work performed by another body, it shall have appropriate reports, data and records to demonstrate that the results are equivalent to, and conform with, the requirements established by the certification scheme |  |  |
| **9.3 Examination process** | |  |  |
| **9.3.1** | Examinations shall be designed to assess competence based on, and consistent with, the scheme, by written, oral, practical, observational or other reliable and objective means. The design of examination requirements shall ensure the comparability of results of each single examination, both in content and difficulty, including the validity of fail/pass decisions |  |  |
| **9.3.2** | The certification body shall have procedures to ensure a consistent examination administration*.* |  |  |
| **9.3.3** | Criteria for conditions for administering examinations shall be established, documented and monitored.  *Refer Notes to ISO/IEC 17024* |  |  |
| **9.3.4** | When technical equipment is used in the examination process, the equipment shall be verified or calibrated where appropriate |  |  |
| **9.3.5** | Appropriate methodology and procedures (e.g. collecting and maintaining statistical data) shall be documented and implemented in order to reaffirm, at justified defined intervals, the fairness, validity, reliability and general performance of each examination, and that all identified deficiencies are corrected. |  |  |
| **9.4 Decision on certification** | |  |  |
| **9.4.1** | The information gathered during the certification process shall be sufficient:   1. for the certification body to make a decision on certification; 2. for traceability in the event, for example, of an appeal or a complaint. |  |  |
| **9.4.2** | Decisions for granting, maintaining, recertifying, extending, reducing, suspending or withdrawing certification shall not be outsourced |  |  |
| **9.4.3** | The certification body shall confine its decision on certification to those matters specifically related to the requirements of the certification scheme. |  |  |
| **9.4.4** | The decision on certification of a candidate shall be made solely by the certification body on the basis of the information gathered during the certification process. Personnel who make the decision on certification shall not have participated in the examination or training of the candidate. |  |  |
| **9.4.5** | The personnel who make certification decisions shall have sufficient knowledge of and experience with the certification process to determine if the certification requirements have been met. |  |  |
| **9.4.6** | Certification shall not be granted until all certification requirements are fulfilled |  |  |
| **9.4.7** | **The IECEx On-Line Certificate System is considered to satisfy this requirement.**  **However, the Certification Body shall have a documented process to safe guard the unique Identification Password for accessing the IECEx On-Line Certificate System and include a mechanism to inform the IECEx Secretariat in cases where this may be compromised.** |  |  |
| **9.4.8** | **The IECEx On-Line Certificate System is considered to satisfy this requirement.** |  |  |
| **9.4.9** | **The IECEx On-Line Certificate System is considered to satisfy this requirement.** |  |  |
| **9.5 Suspending, withdrawing or reducing the scope of certification** | |  |  |
| **9.5.1** | The certification body shall have a policy and (a) documented procedure(s) for suspension or withdrawal of the certification, or reduction of the scope of certification, which shall specify the subsequent actions by the certification body |  |  |
| **9.5.2** | Failure to resolve the issues that have resulted in the suspension, in a time established by the certification body, shall result in withdrawal of the certification or reduction of the scope of certification |  |  |
| **9.5.3** | The certification body shall have enforceable arrangements with the certified person to ensure that, in the event of suspension of certification, the certified person refrains from further promotion of the certification while it is suspended |  |  |
| **9.5.4** | The certification body shall have enforceable arrangements with the certified person to ensure that, in the event of withdrawal of certification, the certified person refrains from use of all references to a certified status. |  |  |
| **9.6 Recertification process** | **As The Certification Body operates in the IECEx CoPC Scheme, IECEx is considered to be the scheme owner. Thereby the fact that the CB complies with IECEx requirements, they are in compliance with this Clause of ISO/IEC 17024** |  |  |
| **9.7 Use of certificates, logos and marks** | **IECEx CoPC Scheme requires that the Certification Body complies with IECEx 01B in terms of use of IECEx Logo or Certification Mark when operating in the IECEx Schemes** |  |  |
| **9.8 Appeals against decisions on certification** | |  |  |
| **9.8.1** | The certification body shall have a documented process to receive, evaluate and make decisions on appeals. The appeals-handling process shall include at least the following elements and methods:   1. the process for receiving, validating and investigating the appeal, and for deciding what actions are to be taken in response to it, taking into account the results of previous similar appeals; 2. tracking and recording appeals, including actions undertaken to resolve them; 3. ensuring that, if applicable, appropriate corrections and corrective actions are taken. |  |  |
| **9.8.2** | The policies and procedures shall ensure that all appeals are dealt with in a constructive, impartial and timely manner. |  |  |
| **9.8.3** | A description of the appeals-handling process shall be publicly accessible without request. |  |  |
| **9.8.4** | The certification body shall be responsible for all decisions at all levels of the appeals-handling process. The certification body shall ensure that the decision-making personnel engaged in the appeals-handling process are different from those who were involved in the decision being appealed |  |  |
| **9.8.5** | Submission, investigation and decision on appeals shall not result in any discriminatory actions against the appellant. |  |  |
| **9.8.6** | The certification body shall acknowledge receipt of the appeal and shall provide the appellant with progress reports and the outcome. |  |  |
| **9.8.7** | The certification body shall give formal notice to the appellant of the end of the appeals-handling process. |  |  |
| **9.9 Complaints** | |  |  |
| **9.9.1** | The certification body shall have a documented process to receive, evaluate and make decisions on complaints. |  |  |
| **9.9.2** | A description of the complaints-handling process shall be accessible without request. The procedures shall treat all parties fairly and equitably |  |  |
| **9.9.3** | The policies and procedures shall ensure that all complaints are handled and processed in a constructive, impartial and timely manner. The complaints-handling process shall include at least the following elements and methods:   1. an outline of the process for receiving, validating, investigating the complaint and deciding what actions are to be taken in response to it; 2. tracking and recording complaints, including actions undertaken in response to them; 3. ensuring that, if applicable, appropriate corrections and corrective actions are taken. |  |  |
| **9.9.4** | Upon receipt of a complaint, the certification body shall confirm whether the complaint relates to certification activities for which it is responsible and, if so, shall respond accordingly |  |  |
| **9.9.5** | Whenever possible, the certification body shall acknowledge receipt of the complaint and shall provide the complainant with progress reports and the outcome. |  |  |
| **9.9.6** | The certification body receiving the complaint shall be responsible for gathering and verifying all necessary information to validate the complaint. |  |  |
| **9.9.7** | Whenever possible, the certification body shall give formal notice of the end of the complaints-handling process to the complainant |  |  |
| **9.9.8** | Any substantiated complaint about a certified person shall also be referred by the certification body to the certified person in question at an appropriate time. |  |  |
| **9.9.9** | The complaints-handling process shall be subject to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint. |  |  |
| **9.9.10** | The decision to be communicated to the complainant shall be made by, or reviewed and approved by, personnel not previously involved in the subject of the complaint |  |  |
|  | | | |
| **10 Management system requirements** | | | |
| **10.1 General** | *Certification body to comply with subsequent clauses of this section, or has an established management system according to ISO 9001 and has provided evidence of compliance (need not be certified or accredited)*  *Annex A provides a checklist for Clause 10.2 requirments* |  |  |

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This Checklist is prepared for strict use for the IECEx CoPC Scheme only.

Annex A

Checklist for Assessment of Quality management System Requirements according to Clause 10.2 of ISO/IEC 17024

Application: This Annex is to be completed when assessing a Certification Body according to the requirements of Clause 10.2 of ISO/IEC 17024, which is used when the Certification Body may not be operating a Quality Management System that can be demonstrated as complying with ISO 9001.

|  | **Requirements** | **Comply**  **Y / N** | **Doc. Ref / Remarks** |
| --- | --- | --- | --- |
| **10.2 General management system requirements** | | | |
| **10.2.1** | **General** |  |  |
| **10.2** | **General management system requirements** |  |  |
| **10.2.1** | **General** |  |  |
| **10.2.2** | **Management system documentation** |  |  |
| **10.2.3** | **Control of documents** |  |  |
| **10.2.4** | **Control of records** |  |  |
| **10.2.5** | **Management review** |  |  |
| **10.2.5.1** | **General** |  |  |
| **10.2.5.2** | **Review input** |  |  |
| **10.2.5.3** | **Review output** |  |  |
| **10.2.6** | **Internal audits** |  |  |
| **10.2.6.1** | *Procedures in place* |  |  |
| **10.2.6.2** | *Audit program takes into account IECEx CopC requirements* |  |  |
| **10.2.6.3** | *Shall be performed at least every 12 months* |  |  |
| **10.2.6.4** | *Audits are performed by competent staff, no conflict, opportunities are identified* |  |  |
| **10.2.7** | **Corrective actions** |  |  |
| **10.2.8** | **Preventive actions** |  |  |