**IRIS ACCREDITATION – AUDIT COMPANY QUALITY MANAGEMENT DOCUMENTATION CHECKLIST/DECLARATION**

**(In accordance with IRIS Scheme General Requirements 8.5.5 “Review of Documented Information”)**

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| --- | --- | --- | --- |
| **ISO 17021 Requirement** | **Y/N** | **Audit Company Document(s)** | **Comments** |
| **Document Name/Identity** | **Clause Number(s)** |
| **5 General requirements** | **🞎** |  |  |  |
| ***5.1 Legal and contractual matters***GR 7.2 General Requirements and Organizational Structure | **🞎** |  |  |  |
| ***5.1.1 Legal responsibility***GR 7.2 General Requirements and Organizational Structure. (Including Business License etc.)GR 7.1.3 Responsibility | **🞎** |  |  |  |
| ***5.1.2 Certification agreement***GR 3.6 Certification ContractGR 7.1.3 Responsibility | **🞎** |  |  |  |
| ***5.1.3 Responsibility for certification decisions***GR 7.2.3 IRIS Certification ManagerGR 7.1.3 Responsibility | **🞎** |  |  |  |
| ***5.2 Management of impartiality***GR 7.2.2 Impartiality GR 7.1.1 ImpartialityGR 7.1.7 Risk-based Approach(Including anti-bribery and soft auditing etc.) | **🞎** |  |  |  |
| ***5.3 Liability and financing*** GR 7.2.1 Legal, Contractual, Liability, and Financing Responsibilities. (Including insurance that covers all elements/ countries of operation). | **🞎** |  |  |  |
| **6 Structural requirements** | **🞎** |  |  |  |
| ***6.1 Organizational structure and top management***GR 7.2 Audit Company – General Requirements and Organizational Structure(Including ISO/IEC 17021-1 6.1.4 - formal rules for the appointment, terms of reference and operation of any committees that are involved in the certification activities.) | **🞎** |  |  |  |
| ***6.2 Operational control***GR 7.3 Audit Company – Management SystemGR 3 Application for Certification Process RequirementsGR 4 Audit Process RequirementsGR 5 Certification Decision Process RequirementsGR 6 Certification Complaints; Transfers; Suspensions / Withdrawals / Scope Reductions; And Appeals Process Requirements. | **🞎** |  |  |  |
| **7 Resource requirements** | **🞎** |  |  |  |
| ***7.1 Competence of personnel***GR 7.4 Audit Company – Personnel Resources and CompetencyGR 7.1.2 Competence | **🞎** |  |  |  |
| ***7.1.1 General considerations***GR 7.4 Audit Company – Personnel Resources and Competency | **🞎** |  |  |  |
| ***7.1.2 Determination of competence criteria***GR 7.4 Audit Company – Personnel Resources and Competency | **🞎** |  |  |  |
| ***7.1.3 Evaluation processes***GR 7.4 Audit Company – Personnel Resources and Competency | **🞎** |  |  |  |
| ***7.1.4 Other considerations***GR 7.4 Audit Company – Personnel Resources and Competency | **🞎** |  |  |  |
| ***7.2 Personnel involved in the certification activities***GR 7.4 Audit Company – Personnel Resources and CompetencyGR 7.1.7 Risk-based Approach | **🞎** |  |  |  |
| ***7.3 Use of individual external auditors and external technical experts***GR 7.4 Audit Company – Personnel Resources and Competency | **🞎** |  |  |  |
| ***7.4 Personnel records*** GR 7.4 Audit Company – Personnel Resources and Competency (Including Auditor KPI’s) | **🞎** |  |  |  |
| ***7.5 Outsourcing***Not Applicable for IRIS Certification Program | **N/A** |  |  |  |
| **8 Information requirements** | **🞎** |  |  |  |
| ***8.1 Public information***GR 7.5 Audit Company – Scheme Information RequirementsGR 7.1.4 Openness  | **🞎** |  |  |  |
| ***8.2 Certification documents***GR 7.5 Audit Company – Scheme Information Requirements | **🞎** |  |  |  |
| ***8.3 Reference to certification and use of marks***GR 7.5 Audit Company – Scheme Information Requirements | **🞎** |  |  |  |
| ***8.4 Confidentiality***GR 2.5 Confidentiality and Data ProtectionGR 7.1.5 Confidentiality | **🞎** |  |  |  |
| ***8.5 Information exchange between a certification body and its clients***GR 7.5.4 Communications with Certification Clients | **🞎** |  |  |  |
| ***8.5.1 Information on the certification activity and requirements***GR 7.5 Audit Company – Scheme Information Requirements | **🞎** |  |  |  |
| ***8.5.2 Notice of changes by a certification body***GR 7.5 Audit Company – Scheme Information Requirements | **🞎** |  |  |  |
| ***8.5.3 Notice of changes by a certified client***GR 7.5 Audit Company – Scheme Information Requirements | **🞎** |  |  |  |
| **9 Process requirements** | **🞎** |  |  |  |
| ***9.1 Pre-certification activities***GR 3.3 Eligibility, Scope and Application | **🞎** |  |  |  |
| ***9.1.1 Application***GR 3.3 Eligibility, Scope and Application | **🞎** |  |  |  |
| ***9.1.2 Application review***GR 3.3 Eligibility, Scope and Application | **🞎** |  |  |  |
| ***9.1.3 Audit programme***GR 3.5 Certification Program Planning – CSPMS & Certification Program Plan; use of IRIS Certification and Audit Protocols | **🞎** |  |  |  |
| ***9.1.4 Determining audit time***GR 3.5 Certification Program Planning – CSPMS & Certification Program Plan; use of IRIS Certification and Audit Protocols; Certification Program Plan Approval3.6 Certification Contract | **🞎** |  |  |  |
| ***9.1.5 Multi-site sampling***GR 3.5 Certification Program Planning – CSPMS & Certification Program Plan; use of IRIS Certification and Audit Protocols; Certification Program Plan Approval3.6 Certification Contract | **🞎** |  |  |  |
| ***9.1.6 Multiple management systems standards***GR 3.5 Certification Program Planning – CSPMS & Certification Program Plan; use of IRIS Certification and Audit Protocols; Certification Program Plan Approval3.6 Certification Contract | **🞎** |  |  |  |
| ***9.2 Planning audits***GR 4.1 Initial Certification AuditGR 4.2 Maintaining Certification  | **🞎** |  |  |  |
| ***9.2.1 Determining audit objectives, scope and criteria***GR 4.1 Initial Certification AuditGR 4.2 Maintaining Certification | **🞎** |  |  |  |
| ***9.2.2 Audit team selection and assignments***GR 4.1 Initial Certification AuditGR 4.2 Maintaining Certification | **🞎** |  |  |  |
| ***9.2.3 Audit plan***GR 4.1 Initial Certification AuditGR 4.2 Maintaining Certification | **🞎** |  |  |  |
| ***9.3 Initial certification***GR 4.1 Initial Certification Audit | **🞎** |  |  |  |
| ***9.3.1 Initial certification audit***GR 4.1 Initial Certification Audit | **🞎** |  |  |  |
| ***9.4 Conducting audits***GR 4.3 Audit Processes – All Audit Types | **🞎** |  |  |  |
| ***9.4.1 General*** | **🞎** |  |  |  |
| ***9.4.2 Conducting the opening meeting***GR 4.3 Audit Processes – All Audit Types | **🞎** |  |  |  |
| ***9.4.3 Communication during the audit***GR 4.3 Audit Processes – All Audit Types | **🞎** |  |  |  |
| ***9.4.4 Obtaining and verifying information***GR 4.3 Audit Processes – All Audit Types | **🞎** |  |  |  |
| ***9.4.5 Identifying and recording audit findings***GR 4.3 Audit Processes – All Audit Types | **🞎** |  |  |  |
| ***9.4.6 Preparing audit conclusions***GR 4.3 Audit Processes – All Audit Types | **🞎** |  |  |  |
| ***9.4.7 Conducting the closing meeting***GR 4.3 Audit Processes – All Audit Types | **🞎** |  |  |  |
| ***9.4.8 Audit report***GR 4.3 Audit Processes – All Audit Types | **🞎** |  |  |  |
| ***9.4.9 Cause analysis of nonconformities***GR 4.3 Audit Processes – All Audit Types | **🞎** |  |  |  |
| ***9.4.10 Effectiveness of corrections and corrective actions***GR 4.3 Audit Processes – All Audit Types | **🞎** |  |  |  |
| ***9.5 Certification decision***GR 5.1 Certification Processes | **🞎** |  |  |  |
| ***9.5.1 General***GR 5.1 Certification Processes | **🞎** |  |  |  |
| ***9.5.2 Actions prior to making a decision***GR 5.1 Certification Processes | **🞎** |  |  |  |
| ***9.5.3 Information for granting initial certification***GR 5.1 Certification Processes | **🞎** |  |  |  |
| ***9.5.4 Information for granting recertification***GR 5.1 Certification Processes | **🞎** |  |  |  |
| ***9.6 Maintaining certification***GR 4.2 Maintaining Certification | **🞎** |  |  |  |
| ***9.6.1 General***GR 4.2 Maintaining Certification | **🞎** |  |  |  |
| ***9.6.2 Surveillance activities***GR 4.2 Maintaining Certification | **🞎** |  |  |  |
| ***9.6.3 Recertification***GR 4.2 Maintaining Certification | **🞎** |  |  |  |
| ***9.6.4 Special audits***GR 4.3 Audit Processes – All Audit Types | **🞎** |  |  |  |
| ***9.6.5 Suspending, withdrawing or reducing the scope of certification***GR 6.3 Suspending, Withdrawing or Reducing the Scope of Certification | **🞎** |  |  |  |
| ***9.7 Appeals***GR 6.4 Appeals | **🞎** |  |  |  |
| ***9.8 Complaints***GR 6.1. Complaints Processes (Including interfaces with SAAS)GR 7.1.6 Responsiveness to Complaints | **🞎** |  |  |  |
| ***9.9 Client records***GR 7.3.2 Management System Content | **🞎** |  |  |  |
| **10 Management system requirements for certification bodies** | **🞎** |  |  |  |
| ***10.1 Note: Option b is not Applicable for IRIS Certification Program*** | N/A |  |  |  |
| ***10.2 Option A: General management system requirements***GR 7.3 Audit Company – Management System | **🞎** |  |  |  |
| ***10.2.1 General***GR 7.3 Audit Company – Management System | **🞎** |  |  |  |
| ***10.2.2 Management system manual***GR 7.3 Audit Company – Management System | **🞎** |  |  |  |
| ***10.2.3 Control of documents***GR 7.3 Audit Company – Management System | **🞎** |  |  |  |
| ***10.2.4 Control of records***GR 7.3 Audit Company – Management System | **🞎** |  |  |  |
| ***10.2.5 Management review***GR 7.3 Audit Company – Management System | **🞎** |  |  |  |
| ***10.2.6 Internal audits***GR 7.3 Audit Company – Management System | **🞎** |  |  |  |
| ***10.2.7 Corrective actions***GR 7.3 Audit Company – Management System | **🞎** |  |  |  |
| ***10.3 Not Applicable for IRIS Certification Program*** | N/A |  |  |  |