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**ISO/IEC 17021-1:2015
Section 10:
Management System
Requirements for
Certification**

**Section 10: MS Requirements for CBs
10.1 Options**

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10.1 Options

Establish, document, implement and maintain a management system in accordance with either:

Option A

a) general management system requirements (see 10.2.);

   or

Option B

b) management system requirements in accordance with ISO 9001 (see 10.3)

**Section 10: MS Requirements for CBs
10.2 Option A: General Management
System Requirements**

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10.2.1 General

• Establish, document, implement and maintain a management system meeting the requirements of ISO/IEC 17021.

• CB's top management shall assign responsibility and authority for:

a) ensuring that processes and procedures needed for the management system are established, implemented and maintained;

b) reporting to top management on the performance of the management system and any need for improvement.

Section 10: MS Requirements for CBs
10.2 Option A: General Management System Requirements

10.2.2 Management System Manual

All applicable requirements of this part of ISO/IEC 17021 shall be addressed either in a manual or in associated documents. The certification body shall ensure that the manual and relevant associated documents are accessible to all relevant personnel.

10.2.3 Control of Documents

The certification body shall establish procedures to control the documents (internal and external) that relate to the fulfilment of this part of ISO/IEC 17021. The procedures shall define the controls needed to:

a) approve documents for adequacy prior to issue;

b) review and update where necessary and re-approve documents;

c) ensure that changes and the current revision status of documents are identified;

d) ensure that relevant versions of applicable documents are available at points of use;

e) ensure that documents remain legible and readily identifiable;

f) ensure that documents of external origin are identified and their distribution controlled;

g) prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.

NOTE   Documentation can be in any form or type of medium.

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10.2 Option A: General Management System Requirements

10.2.4 Control of Records

- The certification body shall establish procedures to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of its records related to the fulfilment of this part of ISO/IEC 17021.
- The certification body shall establish procedures for retaining records for a period consistent with its contractual and legal obligations. Access to these records shall be consistent with the confidentiality arrangements.

NOTE For requirements for records on certified clients, see also 9.9.

10.2.5 Management review

10.2.5.1 General

The certification body's top management shall establish procedures to review its management system at planned intervals to ensure its continuing suitability, adequacy and effectiveness, including the stated policies and objectives related to the fulfilment of this part of ISO/IEC 17021. These reviews shall be conducted at least once a year.

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10.2 Option A: General Management System Requirements

10.2.5.2 Review Inputs

The input to the management review shall include information related to:

a) results of internal and external audits;

b) feedback from clients and interested parties;

c) safeguarding impartiality;

d) the status of corrective actions;

e) the status of actions to address risks;

f) follow-up actions from previous management reviews;

g) the fulfilment of objectives;

h) changes that could affect the management system;

i) appeals and complaints.

Section 10: MS Requirements for CBs
10.2 Option A: General Management System Requirements

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10.2.5.3 Review Outputs

The outputs from the management review shall include decisions and actions related to

a) improvement of the effectiveness of the management system and its processes;

b) improvement of the certification services related to the fulfilment of this part of ISO/IEC 17021;

c) resource needs;

d) revisions of the organization's policy and objectives.

Section 10: MS Requirements for CBs
10.2 Option A: General Management System Requirements

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10.2.6 Internal Audits

10.2.6.1
The certification body shall establish procedures for internal audits to verify that it fulfils the requirements of this part of ISO/IEC 17021 and that the management system is effectively implemented and maintained.

NOTE ISO 19011 provides guidelines for conducting internal audits.

10.2.6.2
An audit programme shall be planned, taking into consideration the importance of the processes and areas to be audited, as well as the results of previous audits.

10.2.6.3
Internal audits shall be performed at least once every 12 months. The frequency of internal audits may be reduced if the certification body can demonstrate that its management system continues to be effectively implemented according to this part of ISO/IEC 17021 and has proven stability.

Section 10: MS Requirements for CBs
10.2 Option A: General Management System Requirements

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10.2.6.4
Ensure that:

a) internal audits are conducted by competent personnel knowledgeable in certification, auditing and the requirements of this part of ISO/IEC 17021;

b) auditors do not audit their own work;

c) personnel responsible for the area audited are informed of the outcome of the audit;

d) any actions resulting from internal audits are taken in a timely and appropriate manner;

e) any opportunities for improvement are identified.

Section 10: MS Requirements for CBs
10.2 Option A: General Management System Requirements

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10.2.7 Corrective actions

Establish procedures for identification and management of nonconformities in its operations. The certification body shall also, where necessary, take actions to eliminate the causes of nonconformities in order to prevent recurrence. Corrective actions shall be appropriate to the impact of the problems encountered. The procedures shall define requirements for:

a) identifying nonconformities (e.g. from valid complaints and internal audits);

b) determining the causes of nonconformity;

c) correcting nonconformities;

d) evaluating the need for actions to ensure that nonconformities do not recur;

e) determining and implementing in a timely manner, the actions needed;

f) the results of actions taken;

g) reviewing the effectiveness of corrective actions.

Section 10: MS Requirements for CBs
10.3 Option B: Management System Requirements

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10.3.1 General
The certification body shall establish and maintain a management system, in accordance with the requirements of ISO 9001, which is capable of supporting and demonstrating the consistent achievement of the requirements of this part of ISO/IEC 17021, amplified by 10.3.2 to 10.3.4.

10.3.2 Scope
For application of the requirements of ISO 9001, the scope of the management system shall include the design and development requirements for its certification services.

10.3.3 Customer Focus
For application of the requirements of ISO 9001, when developing its management system, the certification body shall consider the credibility of certification and shall address the needs of all parties (as set out in 4.1.2) that rely upon its audit and certification services, not just its clients.

10.3.4 Management Review
For application of the requirements of ISO 9001, the certification body shall include as input for management review, information on relevant appeals and complaints from users of certification activities and a review of impartiality.

Thank you!

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