

Section 4: Principles

4.3 Competence

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4.3.1

Competence of personnel in certification activities is necessary to deliver certification that provides confidence.

4.3.3

CB need to implement a process to establish competence criteria for personnel involved in audit and other certification activities and to perform evaluation against the criteria.

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4.4 Responsibility

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4.4.2

CB is responsible to assess and base decisions on objective evidence of conformance or nonconformance

NOTE

Any audit is based on sampling within an organization's management system and therefore is not a guarantee of 100% conformity with requirements.

Section 4: Principles

4.5 Openness

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4.5.1


CB should provide access to, or disclosure of, information to gain confidence in the integrity and credibility of certification

- Audit and certification process

- Certification status of clients

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4.6 Confidentiality & 4.7 Responsiveness to Complaints



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4.6

..... CAB needs to keep confidential any proprietary information about a client

4.7

Parties that rely on certification expect to have complaints investigated and, if valid, that a reasonable effort be made for resolution.

Why?


Effective response to complaints protects all parties, (CAB and its clients) from error, omissions or unreasonable behavior

NOTE

An appropriate balance between the principles of openness and confidentiality, including responsiveness to complaints, is necessary in order to demonstrate integrity and credibility to all users of certification.

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4.8 Risk-based Approach




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4.8


CBs need to take into account the risks associated with providing competent, consistent and impartial certification. Risks may include:

- the objectives of the audit;
- the sampling used in the audit process;
- real and perceived impartiality;
- legal, regulatory and liability issues;
- the client organization being audited and its operating environment;
- impact of the audit on the client and its activities;
- health and safety of the audit teams;
- perception of interested parties;
- misleading statements by the certified client;
- use of marks.


Thank you!




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