



**SRI LANKA ACCREDITATION BOARD
for CONFORMITY ASSESSMENT**

QUESTIONNAIRE for ACCREDITATION of CERTIFICATION BODIES

Instructions to the Applicant:

1. Please fill the questionnaire on your own judgment of activities and return with the application
2. This questionnaire is prepared based on the requirements specified in the ISO/IEC 17021-1: 2015 and ISO/IEC 17065:2012 Standard. This questionnaire could be used as a tool for carrying out a self assessment to determine the preparedness of the applicant System/ Product Certification Body prior to go for Accreditation.
3. Please note that meeting all the requirements specified in the questionnaire should not be construed as applicant System/Product Certification Body fulfils all the requirements for Accreditation by SLAB



**ACCREDITATION SCHEME FOR SYSTEM/ PRODUCT
CERTIFICATION BODIES**

QUESTIONNAIRE

This questionnaire is a self-assessment check list to assess the preparedness of the System/ Product Certification Body (hereafter it will be referred as CB) for it to be considered for Accreditation by SLAB.

Questionnaire Completed By

Name: _____

Position: _____

Name of the system/product certification body: _____

Signature: _____

Date: _____

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	Yes	No
01. General		
<ul style="list-style-type: none"> • CB has a Quality Policy and Quality Manual and other Procedures. • Quality Policy Statement with Chief Executive's Endorsement. • The manual contain / refer to Scope of Certification. 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
02. Principles		
<ul style="list-style-type: none"> • The CB's operations bring public confidence and trust that it is performing an impartial and competent assessment as a third party. • The CB conducts operations impartially and all threats to impartiality are identified and controlled. • The decisions are taken based on the objective evidence. • Grant certification only if there is sufficient evidence for conformity. • The CB has competent personnel for conducting Certification Activities. • Provide Public Access/ disclosing information about Audit & Certification process and Certification status of clients. • Maintain Confidentiality of Client's Proprietary Information. • Responding to complaints and take reasonable effort to resolve complaints. • The CB takes into account the risks associated with providing competent, consistent and impartial certification. 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

03. Legal and Contractual Matters		
<ul style="list-style-type: none"> • CB has acceptable legal status. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Certification activities fulfil all legal requirements. 		
<ul style="list-style-type: none"> • Legally enforceable agreement for the provision of Certification activities to the clients is available. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Retain authority for the decision relating to certification. 	<input type="checkbox"/>	<input type="checkbox"/>
04. Management of Impartiality		
<ul style="list-style-type: none"> • Certification activity ensures impartiality; and conflicts of interest situations are identified and eliminated. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • CB not certifies another certifying body. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • CB not providing internal audit facilities for its clients. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • CB not providing consultancy services on related Management Systems. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • CB not outsourcing Audits to a Management System Consultancy Body. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • CB has no links with the activities of an organization that provides Management Systems consultancies. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • No individuals who work or worked within preceding two year as consultants or acting in managerial capacity is chosen as auditors for audits on the particular clients. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Take necessary action to respond to any threat to its impartiality. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • The personnel who involve with certification activities reveal any situation which may lead to conflict of interest. 	<input type="checkbox"/>	<input type="checkbox"/>

07. Mechanism for Safeguarding Impartiality

<ul style="list-style-type: none"> • Policy on the impartiality defined by the top management that it understands the importance of impartiality in carrying out its management system certification activities, manages conflict of interest and ensures the objectivity of its management system certification activities. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • A committee is Appointed and vested with the responsibility of Safeguarding impartiality. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • The committee is appointed and involved in actives such as development of policies with regard to impartiality, safeguarding impartiality, providing advice and conduct reviews. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • The composition, terms of reference, duties, authorities and competence of the members and responsibilities are identified and documented. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • The committee is given the rights to make independent actions. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Line of authority and links with other parts are indicated. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Key stakeholders are represented in the committee. 	<input type="checkbox"/>	<input type="checkbox"/>

08. Resource requirements

<ul style="list-style-type: none"> • Competence criteria for personnel involved in the management and performance of audits and other certification activities. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Adeqaute resources including the human resources are available to carry out certification and support activites. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • A process is available to ensure the competency of Management and Personnel. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Sufficient number of competent personnel are available to perform the whole range of auditing and certification activities. 	<input type="checkbox"/>	<input type="checkbox"/>

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09. Information requirements

<ul style="list-style-type: none"> • CB provides all information to ensure the transparency of certification activities while maintaining confidentiality. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • CB ensures no misleading information are provided to client or market place. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Publicly accessible information is available with regard to audit process and certification process for granting, refusing, maintaining, renewing, suspending, restoring or withdrawing certification or expanding or reducing the scope of certification and about the certification activities, types of management system and geographical areas in which it operates. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • provide upon request that the status of a given certificate 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • All necessary information is clearly stated in the certification documents. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Directory of certified clients is available and accessible to interested parties. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • A policy governing any mark that the CB authorizes is available. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Clearly laid down conditions are available for use of authorized marks. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Legally enforceable agreements and clear policies are available as appropriate to safeguard the confidentiality of information and impartiality. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Process for information exchange with clients is available. 	<input type="checkbox"/>	<input type="checkbox"/>

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10. Process requirements

<ul style="list-style-type: none"> • CB follows the requirements covered in the ISO/IEC 17021-1 ISO/IEC 17065 for certification activities 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Initial Certification audit is comprised of two stages. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Valid period of Certification is three year within that the CB conducts two surveillance audits. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Audits plans are established for each audits to provide the basis for agreement regarding the conduct and schedule of audit activities. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • The audits plan is sent to and agreed by the clients prior to the audits (Routine audits only). 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • A process is available for the appointment of Audit Team members. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • A documented procedure is available for determining audit time. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Rationale for sampling plan is documented. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Tasks given to the audit team is defined and made know to the client prior to the audit. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • The names and background details could be made available to the clients if required. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • A written report is prepared and made available to the client after each audit. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • Non conformities found in audits are communicated unambiguously to the clients and such non conformities are closed only after the client takes acceptable corrective actions to eliminate the detected nonconformities. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • The persons who take decisions on certification are not carrying out the audit concerned. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • A process for making decision on certification activities is available. 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • The certification process begins only after the receipt of application from the client with all the requirements are provided therein and after an authorized representative is appointed by the client. 	<input type="checkbox"/>	<input type="checkbox"/>

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11. Management System Requirements for Certification Bodies

<ul style="list-style-type: none"> • CB adopts a management system in accordance with the requirements specified in the ISO 9001 standards specification. 	<input type="checkbox"/>	<input type="checkbox"/>
Or		
<ul style="list-style-type: none"> • Does your organization implement a management system that is consistent with the ISO/IEC 17021-1/ ISO/IEC 17065? 	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • The above system includes the following but not limited to <ul style="list-style-type: none"> ○ Processes and procedures needed by the management system are available. ○ Top management involvement. ○ A quality manual addressing all applicable requirements of ISO/IEC 17021-1/ ISO/IEC 17065. ○ Documents are controlled in accordance with the establish procedure. ○ Records are controlled in accordance with the establish procedure. ○ Management review is conducted at least once a year. ○ Internal audits are held at least once a year. ○ Corrective actions are taken in accordance with the establish procedure. ○ Preventive actions are taken in accordance with the establish procedure. 	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

List of Documents to be submitted along with the Application

- Completed Application for Accreditation (CB-FM(P)-01).
- Completed Questionnaire (CB-FM(P)-02).
- Two copies of relevant Terms and Conditions of maintaining SLAB accreditation (CS-RG(P)-03 / CP-RG(P)-03)
- CB's documented Quality System (Quality Manual & Procedures).
- | Scheme owner's requirements, if applicable
- Job descriptions of key personnel involved in Certification Activities.
- Complete Organization Structure Chart.
- List of Auditors and experts with their competence for each scope sector
- List of clients for each scope sector identifying clients already certified
- Internal Audit report and corrective action records.
- Management review records.
- If already accredited for the Field/Scope Applied, Documentary evidence.
- | Cross reference matrix
- Application Fee

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