

TRAINING ON ISO/TS 22003

Food safety management systems —

**Requirements for bodies providing audit
and certification of food safety
management systems**

1 Scope

This Technical Specification

defines the rules applicable for the audit and certification of a food safety management system (FSMS) complying with the requirements given in ISO 22000 (or other sets of specified FSMS requirements), and

provides the necessary information and confidence to customers about the way certification of their suppliers has been granted.

Certification of FSMSs (named “certification” in this Technical Specification) is a third-party conformity assessment activity (see ISO/IEC 17000:2004, 5.5). Bodies performing this activity are therefore third-party conformity assessment bodies (named “certification body/bodies” in this Technical Specification).

NOTE 1 Certification of an FSMS is sometimes also called “registration”, and certification bodies are sometimes called “registrars”.

NOTE 2 A certification body can be non-governmental or governmental (with or without regulatory authority).

NOTE 3 This Technical Specification is primarily intended to be used as a criteria document for the accreditation or peer assessment of certification bodies which seek to be recognized as being competent to certify that an FSMS complies with ISO 22000. It is also intended to be used as a criteria document by regulatory authorities and industry consortia which engage in direct recognition of certification bodies to certify that an FSMS complies with ISO 22000. Some of its requirements could also be found useful by any other parties involved in the conformity assessment of such certification bodies, and in the conformity assessment of any bodies that undertake to certify the compliance of FSMSs with criteria additional to or other than those in ISO 22000.

FSMS certification does not attest to the safety or fitness of the products of an organization within the food chain. However, ISO 22000 requires an organization to meet all applicable food-safety-related statutory and regulatory requirements through its management system.

It is important to note that certification of an FSMS according to ISO 22000 is a management system certification and not a product certification.

Other FSMS users can use the concepts and requirements of this Technical Specification provided that the requirements are adapted as necessary.

2 Normative references

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 19011:2002, *Guidelines for quality and/or environmental management systems auditing*

ISO 22000:2005, *Food safety management systems — Requirements for any organization in the food chain*

ISO/TS 22003:2007(E)

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ISO/IEC 17000:2004, *Conformity assessment — Vocabulary and general principles*

ISO/IEC 17021:2006, *Conformity assessment — Requirements for bodies providing audit and certification of management systems*

3 Terms and definitions

3.1

hazard analysis and critical control point

HACCP

system which identifies, evaluates and controls hazards which are significant for food safety

NOTE Adapted from Reference [8].

3.2

food safety management system

FSMS

set of interrelated or interacting elements to establish policy and objectives and to achieve those objectives, used to direct and control an organization with regard to food safety

NOTE See 3.2.1, 3.2.2 and 3.2.3 of ISO 9000:2005.

4 Principles

The principles given in Clause 4 of ISO/IEC 17021:2006 are the basis for the subsequent specific performance and descriptive requirements in this Technical Specification.

This Technical Specification does not give specific requirements for all situations that can occur.

These principles should be applied as guidance for the decisions that may need to be made for unanticipated situations.

Principles are not requirements.

The term “management system” used in ISO/IEC 17021 shall be replaced by “food safety management system” in the context of this Technical Specification.

5 General requirements

5.1 General

All the requirements given in Clause 5 of ISO/IEC 17021:2006 apply.

5.1 Legal and contractual matters

5.1.1 Legal responsibility

The certification body shall be a legal entity, or a defined part of a legal entity, such that it can be held legally responsible for all its certification activities. A governmental certification body is deemed to be a legal entity on the basis of its governmental status.

5.1.2 Certification agreement

The certification body shall have a legally enforceable agreement for the provision of certification activities to its client. In addition, where there are multiple offices of a certification body or multiple sites of a client, the certification body shall ensure there is a legally enforceable agreement between the certification body granting certification and issuing a certificate, and all the sites covered by the scope of the certification.

5.1.3 Responsibility for certification decisions

The certification body shall be responsible for, and shall retain authority for, its decisions relating to certification, including the granting, maintaining, renewing, extending, reducing, suspending and withdrawing of certification.

5.2 Management of impartiality

5.2.1 The certification body shall have top management commitment to impartiality in management system certification activities. The certification body shall have a publicly accessible statement 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.

5.2.2 The certification body shall identify, analyse and document the possibilities for conflict of interests arising from provision of certification including any conflicts arising from its relationships. Having relationships does not necessarily present a certification body with a conflict of interest. However, if any relationship creates a threat to impartiality, the certification body shall document and be able to demonstrate how it eliminates or minimizes such threats. This information shall be made available to the committee specified in 6.2. The demonstration shall cover all potential sources of conflict of interests that are identified, whether they arise from within the certification body or from the activities of other persons, bodies or organizations.

NOTE A relationship that threatens the impartiality of the certification body can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing and payment of a sales commission or other inducement for the referral of new clients, etc.

5.2.3 When a relationship poses an unacceptable threat to impartiality (such as a wholly owned subsidiary of the certification body requesting certification from its parent), then certification shall not be provided.

NOTE See Note to 5.2.2.

5.2.4 A certification body shall not certify another certification body for its management system certification activities.

NOTE See Note to 5.2.2.

5.2.5 The certification body and any part of the same legal entity shall not offer or provide management system consultancy. This also applies to that part of government identified as the certification body.

5.2.6 The certification body and any part of the same legal entity shall not offer or provide internal audits to its certified clients. The certification body shall not certify a management system on which it provided internal audits within two years following the end of the internal audits. This also applies to that part of government identified as the certification body.

NOTE See Note to 5.2.2.

5.2.7 The certification body shall not certify a management system on which a client has received management system consultancy or internal audits, where the relationship between the consultancy organization and the certification body poses an unacceptable threat to the impartiality of the certification body.

NOTE 1 Allowing a minimum period of two years to elapse following the end of the management system consultancy is one way of reducing the threat to impartiality to an acceptable level.

NOTE 2 See Note to 5.2.2.

5.2.8 The certification body shall not outsource audits to a management system consultancy organization, as this poses an unacceptable threat to the impartiality of the certification body (see 7.5). This does not apply to individuals contracted as auditors covered in 7.3.

5.2.9 The certification body's activities shall not be marketed or offered as linked with the activities of an organization that provides management system consultancy. The certification body shall take action to correct inappropriate claims by any consultancy organization stating or implying that certification would be simpler, easier, faster or less expensive if the certification body were used. A certification body shall not state or imply that certification would be simpler, easier, faster or less expensive if a specified consultancy organization were used.

5.2.10 To ensure that there is no conflict of interests, personnel who have provided management system consultancy, including those acting in a managerial capacity, shall not be used by the certification body to take part in an audit or other certification activities if they have been involved in management system consultancy towards the client in question within two years following the end of the consultancy.

5.2.11 The certification body shall take action to respond to any threats to its impartiality arising from the actions of other persons, bodies or organizations.

5.2.12 All certification body personnel, either internal or external, or committees, who could influence the certification activities, shall act impartially and shall not allow commercial, financial or other pressures to compromise impartiality.

5.2.13 Certification bodies shall require personnel, internal and external, to reveal any situation known to them that may present them or the certification body with a conflict of interests. Certification bodies shall use this information as input to identifying threats to impartiality raised by the activities of such personnel or by the organizations that employ them, and shall not use such personnel, internal or external, unless they can demonstrate that there is no conflict of interests.

5.3 Liability and financing

5.3.1 The certification body shall be able to demonstrate that it has evaluated the risks arising from its certification activities and that it has adequate arrangements (e.g. insurance or reserves) to cover liabilities arising from its operations in each of its fields of activities and the geographic areas in which it operates.

5.3.2 The certification body shall evaluate its finances and sources of income and demonstrate to the committee specified in 6.2 that initially, and on an ongoing basis, commercial, financial or other pressures do not compromise its impartiality.

5.2 Management of impartiality

The certification body and any part of the same legal entity shall not offer or provide hazard analysis consultancy, FSMS consultancy or management system consultancy.

The fact that the organization employing the auditor is known to have provided hazard analysis consultancy, FSMS consultancy or management system consultancy on the management system, within two years following the end of the consultancy, is likely to be considered as a high threat to impartiality.

The term “management system consultancy” mentioned in 5.2 of ISO/IEC 17021:2006 shall be replaced in the context of this Technical Specification by “hazard analysis consultancy, FSMS consultancy or management system consultancy”.

6 Structural requirements

All the requirements given in Clause 6 of ISO/IEC 17021:2006 apply.

6 Structural requirements

6.1 Organizational structure and top management

6.1.1 The certification body shall document its organizational structure, showing duties, responsibilities and authorities of management and other certification personnel and any committees. When the certification body is a defined part of a legal entity, the structure shall include the line of authority and the relationship to other parts within the same legal entity.

6.1.2 The certification body shall identify the top management (board, group of persons, or person) having overall authority and responsibility for each of the following:

- a) development of policies relating to the operation of the body;
- b) supervision of the implementation of the policies and procedures;
- c) supervision of the finances of the body;
- d) development of management system certification services and schemes;
- e) performance of audits and certification, and responsiveness to complaints;
- f) decisions on certification;
- g) delegation of authority to committees or individuals, as required, to undertake defined activities on its behalf;
- h) contractual arrangements;
- i) provision of adequate resources for certification activities.

6.1.3 The certification body shall have formal rules for the appointment, terms of reference and operation of any committees that are involved in the certification activities.

6.2 Committee for safeguarding impartiality

6.2.1 The structure of the certification body shall safeguard the impartiality of the activities of the certification body and shall provide for a committee

- a) to assist in developing the policies relating to impartiality of its certification activities,
- b) to counteract any tendency on the part of a certification body to allow commercial or other considerations to prevent the consistent objective provision of certification activities,
- c) to advise on matters affecting confidence in certification, including openness and public perception, and
- d) to conduct a review, as least once annually, of the impartiality of the audit, certification and decision-making processes of the certification body.

Other tasks or duties may be assigned to the committee provided these additional tasks or duties do not compromise its essential role of ensuring impartiality.

6.2.2 The composition, terms of reference, duties, authorities, competence of members and responsibilities of this committee shall be formally documented and authorized by the top management of the certification body to ensure

- a) representation of a balance of interests such that no single interest predominates (internal or external personnel of the certification body are considered to be a single interest, and shall not predominate),
- b) access to all the information necessary to enable it to fulfil its functions (see also 5.2.2 and 5.3.2), and
- c) that if the top management of the certification body does not respect the advice of this committee, the committee shall have the right to take independent action (e.g. informing authorities, accreditation bodies, stakeholders). In taking independent action, committees shall respect the confidentiality requirements of 8.5 relating to the client and certification body.

6.2.3 Although this committee cannot represent every interest, a certification body should identify and invite key interests. Such interests may include: clients of the certification body, customers of organizations whose management systems are certified, representatives of industry trade associations, representatives of governmental regulatory bodies or other governmental services, or representatives of non-governmental organizations, including consumer organizations.

7 Resource requirements

7.1 Competence of management and personnel

All the requirements given in 7.1 of ISO/IEC 17021:2006 apply.

Additionally, the certification body shall have processes to ensure that personnel have appropriate knowledge relevant to the categories (see Annex A) in which it operates.

7 Resource requirements

7.1 Competence of management and personnel

7.1.1 The certification body shall have processes to ensure that personnel have appropriate knowledge relevant to the types of management systems and geographic areas in which it operates.

It shall determine the competence required for each technical area (as relevant for the specific certification scheme), and for each function in the certification activity.

It shall determine the means for the demonstration of competence prior to carrying out specific functions.

7.1.2 In determining the competence requirements for its personnel performing certification, the certification body shall address the functions undertaken by management and administrative personnel in addition to those directly performing audit and certification activities.

7.1.3 The certification body shall have access to the necessary technical expertise for advice on matters directly relating to certification for technical areas, types of management system and geographic areas in which the certification body operates. Such advice may be provided externally or by certification body personnel.

7.2 Personnel involved in the certification activities

7.2.1 General

7.2.1.1 All the requirements given in 7.2 of ISO/IEC 17021:2006 apply.

7.2.1.2 The certification body shall ensure that all personnel involved in the audit and certification activities possess the following personal attributes. The personnel shall be

- a) ethical (i.e. fair, truthful, sincere, honest and discreet),
- b) open-minded (i.e. willing to consider alternative ideas or points of view),
- c) diplomatic (i.e. *tactful in dealing with people*),
- d) observant (i.e. *actively aware of physical surroundings and activities*),
- e) perceptive (i.e. *instinctively aware of and able to understand situations*),
- f) versatile (i.e. *adjust readily to different situations*),
- g) tenacious (i.e. persistent, focused on achieving objectives),
- h) decisive (i.e. *reach timely conclusions based on logical reasoning and analysis*), and
- i) self-reliant (i.e. *act and function independently while interacting effectively with others*).

7.2.2 Personnel carrying out contract review

7.2.2.1 Education

The certification body shall ensure that personnel carrying out contract review have the knowledge corresponding to a secondary education.

7.2.2.2 Food safety training

The certification body shall ensure that personnel carrying out contract review have successfully completed training in

- a) hazard analysis and critical control point (HACCP) principles, hazard assessment and hazard analysis,
- b) food safety management principles including prerequisite programmes (PRPs), and
- c) relevant FSMS standards (e.g. ISO 22000).

7.2.2 Personnel carrying out contract review

7.2.2.3 Audit training

The certification body shall ensure that personnel carrying out contract review have successfully completed training in audit processes based on the guidance given in ISO 19011.

NOTE It is not mandatory for personnel carrying out contract review to have or to maintain audit experience.

7.2.2.4 Competences

The certification body shall ensure that personnel carrying out contract review demonstrate the ability to apply knowledge and skills in the following areas:

- a) classification of applicants in food chain categories and sectors;
- b) assessment of applicant products, processes and practices;
- c) deployment of FSMS auditor competences and requirements;
- d) determination of audit time (see Annex B) and duration requirements;
- e) certification body's policies and procedures related to contract review.

7.2.3 Personnel granting certification

7.2.3.1 General

The certification body shall ensure that the personnel who take the decision on granting certification have the same education, food safety training, audit training and work experience as required for an auditor in one category (see Annex A).

NOTE It is not mandatory for personnel granting certification to have or to maintain audit experience.

7.2.3.2 Competencies

The certification body shall ensure that personnel granting certification demonstrate the ability to apply knowledge and skills in the following areas:

a) current principles of HACCP;

b) understanding of PRPs;

c) identification of food safety hazards;

d) implementation and management of food safety hazards, critical control points (CCPs) and the ability to assess the effectiveness of selected control measures;

e) corrections and corrective actions to be taken with regards to food safety matters;

f) assessment of potential food safety hazards linked to the food supply chain;

7.2.3.2 Competencies

The certification body shall ensure that personnel granting certification demonstrate the ability to apply knowledge and skills in the following areas:

- g) laws and regulations relevant to food safety, in order to be able to conduct an effective audit of the FSMS;
- h) products, processes and practices;
- i) relevant food safety management system requirements;
- j) relevant standards;
- k) assessment and review of an audit report for accuracy and completeness;
- l) assessment and review of the effectiveness of corrective actions;
- m) the certification process.

7.2.4 Auditors

7.2.4.1 Education

The certification body shall ensure that auditors have the knowledge corresponding to a post-secondary education that includes general microbiology and general chemistry.

The certification body shall also ensure that auditors have the knowledge corresponding to a post-secondary education that includes courses in the food chain industry category in which they conduct FSMS audits.

EXAMPLES

- a) For the food industry (Categories C, D, E, F, G and H in Table A.1): food microbiology, food processing fundamentals and food chemistry including food analysis.
- b) For farming (plants) (Category B in Table A.1): crop production.
- c) For farming (animals) (Categories A and F in Table A.1): animal production.
- d) For packaging/food machine/engineering industry (Categories I to M in Table A.1): science/engineering courses related to the discipline.

7.2.4.2 Food safety training

The certification body shall ensure that auditors have successfully completed training in

- a) HACCP principles, hazard assessment and hazard analysis, and
- b) food safety management principles including PRPs.

The training course(s) should be recognized by the industry (and its stakeholders) as being appropriate and relevant.

The approval or certification of the training courses by an independent body with the relevant expertise can provide some assurance that the course meets specified criteria.

7.2.4.3 Audit training

The certification body shall ensure that auditors have successfully completed training in

- a) audit techniques based on ISO 19011, and
- b) relevant FSMS standards (e.g. ISO 22000).

7.2.4.4 Work experience

For a first qualification of an auditor in one or more categories, the certification body shall ensure that the auditor has a minimum of five years of full-time work experience in the food-chain-related industry, including at least two years of work in quality assurance or food safety functions within food production or manufacturing, retailing, inspection or enforcement, or the equivalent.

The number of years of total work experience may be reduced by one year if the auditor has completed appropriate post-secondary education.

7.2.4.5 Audit experience

For a first qualification, the certification body shall ensure that within the last three years the auditor has performed at least twelve FSMS audit days in at least four organizations under the leadership of a qualified auditor.

NOTE FSMS audit days include audit days dealing with ISO 9001 in the food industry or other FSMS audits.

For extension to a new category, the certification body shall demonstrate that the auditor has the required competences through relevant education as required in 7.2.4.1, food-safety-related training in the new category, and either

six months of work experience in the new category, or
four FSMS audits under the supervision of a qualified auditor in the new category.

7.2.4.5 Audit experience

For maintaining the qualification of the auditor, the certification body shall ensure that auditors have performed

Either

- a minimum of five external audits per year, including at least two FSMS audits, or

- a minimum of four FSMS on-site external audits or ten FSMS audit days per year.

7.2.4.6 Competences

7.2.4.6.1 The competences of auditors shall be recorded [see 5.5 c) of ISO 19011:2002] for each category and sector (see Annex A). The certification body shall provide evidence of a successful evaluation.

7.2.4.6.2 The certification body shall ensure that auditors demonstrate the ability to apply knowledge and skills in the following areas.

a) Audit principles, procedures and techniques: to enable the auditor to apply those appropriate to different audits and to ensure that audits are conducted in a consistent and systematic manner.

An auditor shall be able

- to apply audit principles, procedures and techniques,
- to plan and organize the work effectively,
- to conduct the audit within the agreed time schedule,
- to prioritize and focus on matters of significance,
- to collect information through effective interviewing, listening, observing and reviewing documents, records and data,

7.2.4.6 Competences

An auditor shall be able

- to understand the appropriateness and consequences of using sampling techniques for auditing,
- to verify the accuracy of collected information,
- to confirm the sufficiency and appropriateness of audit evidence to support audit findings and conclusions,
- to assess those factors that can affect the reliability of the audit findings and conclusions,
- to use work documents to record audit activities,
- to prepare audit reports,
- to maintain the confidentiality and security of information, and
- to communicate effectively, either through personal linguistic skills or through an interpreter.

b) Management system and reference documents: to enable the auditor to comprehend the scope of the audit and apply audit criteria. Knowledge and skills in this area shall cover

the application of management systems to different organizations, interaction between the components of the management system, food safety management system standards, applicable procedures or other management system documents used as audit criteria, recognizing differences between, and the priority of, the reference documents, application of the reference documents to different audit situations, and information systems and technology for authorization, security, distribution and control of documents, data and records.

c) Organizational situations: to enable the auditor to comprehend the organization's operational context.

Knowledge and skills in this area shall cover

organizational size, structure, functions and relationships, general business processes and related terminology, and cultural and social customs of the auditee.

d) Applicable laws, regulations and other requirements relevant to the discipline: to enable the auditor to work within, and be aware of, the requirements that apply to the organization being audited. Knowledge and skills in this area shall cover

local, regional and national codes, laws and regulations, contracts and agreements, international treaties and conventions, and other requirements to which the organization subscribes.

7.2.4.6.3 The certification body shall ensure that auditors demonstrate the ability to apply terminology, knowledge and skills in the following food safety specific areas:

- a) current principles of HACCP;
- b) relevant PRPs for the considered category(ies) (see Annex A);
- c) identification of food safety hazards;
- d) methodologies used for determination, implementation and management of control measures (PRPs, operational PRPs and CCPs) and the ability to assess the effectiveness of selected control measures;
- e) corrections and corrective actions to be taken with regards to food safety matters;
- f) assessment of potential food safety hazards linked to the food supply chain;

7.2.4.6.3 The certification body shall ensure that auditors demonstrate the ability to apply terminology, knowledge and skills in the following food safety specific areas:

- g) evaluation of the relevance of the applicable PRPs, including establishing or selecting an appropriate evaluation method or guide for these PRPs for the category(ies) considered (see Annex A);
- h) laws and regulations relevant to food safety in order to be able to conduct an effective audit of the FSMS;
- i) products, processes and practices of the specific sector(s) (see Annex A);
- j) relevant food safety management system requirements;
- k) relevant food safety standards.

7.2.5 Technical experts

7.2.5.1 Education

The certification body shall ensure that technical experts have the knowledge corresponding to a postsecondary education in the food chain industry sector being audited, in the processes being audited or in the food safety hazards applicable to the sector.

7.2.5.2 Work experience

The certification body shall ensure that technical experts have work experience in their technical area.

7.2.5.3 Competences

The certification body shall ensure that technical experts demonstrate the ability to provide expertise in their technical area.

7.2.6 Selection of the audit team

The certification body shall ensure that the FSMS audit team have competences in the application of PRPs and HACCP in the specific sector required by the audit (see Annex A).

7.3 Use of individual external auditors and external technical experts

All the requirements given in 7.3 of ISO/IEC 17021:2006 apply.

7.3 Use of individual external auditors and external technical experts

The certification body shall require external auditors and external technical experts to have a written agreement by which they commit themselves to comply with applicable policies and procedures as defined by the certification body. The agreement shall address aspects relating to confidentiality and to independence from commercial and other interests, and shall require the external auditors and external technical experts to notify the certification body of any existing or prior association with any organization they may be assigned to audit.

NOTE Use of individual auditors and technical experts under such agreements does not constitute outsourcing as described under 7.5.

7.4 Personnel records

All the requirements given in 7.4 of ISO/IEC 17021:2006 apply.

7.4 Personnel records

The certification body shall maintain up-to-date personnel records, including relevant qualifications, training, experience, affiliations, professional status, competence and any relevant consultancy services that may have been provided. This includes management and administrative personnel in addition to those performing certification activities.

7.5 Outsourcing

All the requirements given in 7.5 of ISO/IEC 17021:2006 apply.

7.5 Outsourcing

7.5.1 The certification body shall have a process in which it describes the conditions under which outsourcing (which is subcontracting to another organization to provide part of the certification activities on behalf of the certification body) may take place. The certification body shall have a legally enforceable agreement covering the arrangements, including confidentiality and conflict of interests, with each body that provides outsourced services.

NOTE 1 This can include outsourcing to other certification bodies. Use of auditors and technical experts under contract is addressed in 7.3.

NOTE 2 For the purposes of this International Standard, the terms "outsourcing" and "subcontracting" are considered to be synonyms.

7.5.2 Decisions for granting, maintaining, renewing, extending, reducing, suspending or withdrawing certification shall never be outsourced.

7.5 Outsourcing

All the requirements given in 7.5 of ISO/IEC 17021:2006 apply.

7.5.3 The certification body

- a) shall take responsibility for all activities outsourced to another body,
- b) shall ensure that the body that provides outsourced services, and the individuals that it uses, conform to requirements of the certification body and also to the applicable provisions of this International Standard, including competence, impartiality and confidentiality, and
- c) shall ensure that the body that provides outsourced services, and the individuals that it uses, is not involved, either directly or through any other employer, with an organization to be audited, in such a way that impartiality could be compromised.

7.5.4 The certification body shall have documented procedures for the qualification and monitoring of all bodies that provide outsourced services used for certification activities, and shall ensure that records of the competence of auditors and technical experts are maintained.

8 Information requirements

All the requirements given in Clause 8 of ISO/IEC 17021:2006 apply. The certification documents shall identify in detail what activity is certified, referring to sectors (see Annex A).

8 Information requirements

8.1 Publicly accessible information

8.1.1 The certification body shall maintain and make publicly accessible, or provide upon request, information describing its audit processes and certification processes for granting, maintaining, extending, renewing, reducing, suspending or withdrawing certification, and about the certification activities, types of management systems and geographical areas in which it operates.

8.1.2 Information provided by the certification body to any client or to the marketplace, including advertising, shall be accurate and not misleading.

8.1.3 The certification body shall make publicly accessible information about certifications granted, suspended or withdrawn.

8.1.4 On request from any party, the certification body shall provide the means to confirm the validity of a given certification.

NOTE 1 If the total information is split between several sources (e.g. in printed or electronic form or a combination of both), a system ensuring traceability and absence of ambiguity between the sources can be implemented (e.g. unique numbering system, or hyperlinks on Internet).

NOTE 2 In exceptional cases, access to certain information can be limited on the request of the client (e.g. for security reasons).

8.2 Certification documents

8.2.1 The certification body shall provide certification documents to the certified client by any means it chooses.

8.2.2 The effective date on a certification document shall not be before the date of the certification decision.

8.2.3 The certification document(s) shall identify the following:

- a) the name and geographic location of each client whose management system is certified (or the geographic location of the headquarters and any sites within the scope of a multi-site certification);
- b) the dates of granting, extending or renewing certification;
- c) the expiry date or recertification due date consistent with the recertification cycle;
- d) a unique identification code;
- e) the standard and/or other normative document, including issue number and/or revision, used for audit of the certified client;
- f) the scope of certification with respect to product (including service), process, etc., as applicable at each site;
- g) the name, address and certification mark of the certification body; other marks (e.g. accreditation symbol) may be used provided they are not misleading or ambiguous;
- h) any other information required by the standard and/or other normative document used for certification;
- i) in the event of issuing any revised certification documents, a means to distinguish the revised documents from any prior obsolete documents.

8.3 Directory of certified clients

The certification body shall maintain and make publicly accessible, or provide upon request, by any means it chooses, a directory of valid certifications that as a minimum shall show the name, relevant normative document, scope and geographical location (e.g. city and country) for each certified client (or the geographic location of the headquarters and any sites within the scope of a multi-site certification).

NOTE The directory remains the sole property of the certification body.

8.4 Reference to certification and use of marks

8.4.1 A certification body shall have a policy governing any mark that it authorizes certified clients to use. This shall assure, among other things, traceability back to the certification body. There shall be no ambiguity, in the mark or accompanying text, as to what has been certified and which certification body has granted the

certification. This mark shall not be used on a product or product packaging seen by the consumer or in any other way that may be interpreted as denoting product conformity.

NOTE ISO/IEC 17030 provides requirements for use of third-party marks.

8.4.2 A certification body shall not permit its marks to be applied to laboratory test, calibration or inspection reports, as such reports are deemed to be products in this context.

8.4.3 The certification body shall require that the client organization

- a) conforms to the requirements of the certification body when making reference to its certification status in communication media such as the internet, brochures or advertising, or other documents,
- b) does not make or permit any misleading statement regarding its certification,
- c) does not use or permit the use of a certification document or any part thereof in a misleading manner,
- d) upon suspension or withdrawal of its certification, discontinues its use of all advertising matter that contains a reference to certification, as directed by the certification body (see 9.6.3 and 9.6.6),
- e) amends all advertising matter when the scope of certification has been reduced,
- f) does not allow reference to its management system certification to be used in such a way as to imply that the certification body certifies a product (including service) or process,
- g) does not imply that the certification applies to activities that are outside the scope of certification, and
- h) does not use its certification in such a manner that would bring the certification body and/or certification system into disrepute and lose public trust.

8.4.4 The certification body shall exercise proper control of ownership and shall take action to deal with incorrect references to certification status or misleading use of certification documents, marks or audit reports.

NOTE Such action could include requests for correction and corrective action, suspension, withdrawal of certification, publication of the transgression and, if necessary, legal action.

8.5 Confidentiality

8.5.1 The certification body shall, through legally enforceable agreements, have a policy and arrangements to safeguard the confidentiality of the information obtained or created during the performance of certification activities at all levels of its structure, including committees and external bodies or individuals acting on its behalf.

8.5.2 The certification body shall inform the client, in advance, of the information it intends to place in the public domain. All other information, except for information that is made publicly accessible by the client, shall be considered confidential.

8.5.3 Except as required in this International Standard, information about a particular client or individual shall not be disclosed to a third party without the written consent of the client or individual concerned. Where the certification body is required by law to release confidential information to a third party, the client or individual concerned shall, unless regulated by law, be notified in advance of the information provided.

8.5.4 Information about the client from sources other than the client (e.g. complainant, regulators) shall be treated as confidential, consistent with the certification body's policy.

8.5.5 Personnel, including any committee members, contractors, personnel of external bodies or individuals acting on the certification body's behalf, shall keep confidential all information obtained or created during the performance of the certification body's activities.

8.5.6 The certification body shall have available and use equipment and facilities that ensure the secure handling of confidential information (e.g. documents, records).

8.5.7 When confidential information is made available to other bodies (e.g. accreditation body, agreement group of a peer assessment scheme), the certification body shall inform its client of this action.

8.6 Information exchange between a certification body and its clients

8.6.1 Information on the certification activity and requirements

The certification body shall provide and update clients on the following:

- a) a detailed description of the initial and continuing certification activity, including the application, initial audits, surveillance audits, and the process for granting, maintaining, reducing, extending, suspending, withdrawing certification and recertification;
- b) the normative requirements for certification;
- c) information about the fees for application, initial certification and continuing certification;
- d) the certification body's requirements for prospective clients
 - 1) to comply with certification requirements,
 - 2) to make all necessary arrangements for the conduct of the audits, including provision for examining documentation and the access to all processes and areas, records and personnel for the purposes of initial certification, surveillance, recertification and resolution of complaints, and
 - 3) to make provisions, where applicable, to accommodate the presence of observers (e.g. accreditation auditors or trainee auditors);
- e) documents describing the rights and duties of certified clients, including requirements, when making reference to its certification in communication of any kind in line with the requirements in 8.4;
- f) information on procedures for handling complaints and appeals.