

“INDEPENDENCE AND IMPARTIALITY” INCLUDING “COMMERCIAL CONSULTANCY”

Annex 4 to OD-CB 2004 and Annex 6 to OD-CB2005

1.1 GENERAL OPERATING PROCEDURE	
Does the Body have a documented procedure for independence and impartiality that as a minimum includes the following while carrying out conformity assessment activities ?:	
a) to be objective	
b) to identify, avoid, mitigate and manage conflicts of interest, and	
c) to ensure independence, so as to increase the amount of trust, confidence and value that those activities have in the market place	
YES <input type="checkbox"/> NO <input type="checkbox"/>	
Document Title:	Document Number:

1.2 REFERENCE DOCUMENT	
Does the Body have access to ISO/IEC Guide 65:1996 and in particular Sub-clause 4.2, “Organization?” YES <input type="checkbox"/> NO <input type="checkbox"/>	
Does the Body have access to ISO/IEC 17025:2005 and in particular Sub-clause 4.1.4 (including Note 2, 4.1.5 B) and 4.1.5 d) ? YES <input type="checkbox"/> NO <input type="checkbox"/>	

1.3 KNOWLEDGE, TRAINING AND DECISION MAKING	
Does the Body’s staff have knowledge of the basic concepts of independence and impartiality? YES <input type="checkbox"/> NO <input type="checkbox"/>	
Were the training records of the Body’s staff checked ? YES <input type="checkbox"/> NO <input type="checkbox"/>	
Does the Body’s selected staff have sufficient knowledge in the principles of independence and impartiality to provide initial training and retraining to other staff? YES <input type="checkbox"/> NO <input type="checkbox"/> Names of person(s):	
Were examples of training programs of the Body’s staff reviewed and found to be sufficient? YES <input type="checkbox"/> NO <input type="checkbox"/>	
Does the Body’s staff select and make pass/fail decisions taking the principles of independence and impartiality into account? YES <input type="checkbox"/> NO <input type="checkbox"/>	
Are the Body’s decisions based on objective evidence of conformity (or nonconformity) obtained by the Body’s staff? YES <input type="checkbox"/> NO <input type="checkbox"/>	
Are the Body’s decisions influenced by other interests or parties? YES <input type="checkbox"/> NO <input type="checkbox"/>	

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1.4 DOCUMENTATION AND IMPLEMENTATION

Does the Body have documented and implemented (on an on-going basis) sufficient procedures to ensure the independence and impartiality of all staff? YES NO

Does the Body have documented and implemented (on an on-going basis) sufficient procedures to ensure that the remuneration of staff is free from pressures and inducements and is not dependent on the number, outcome of the result of their activities? YES NO
(NOTE: It is recognized that the source of revenue of the Body is its customers paying for its services and that this is a potential threat to independence and impartiality.)

Does the Body have documented sufficient procedures for the identification, review, resolution and prevention of conflict of interest (including “commercial consultancy”) where conflicts of interest are suspected or proven (including subcontracted personnel) and does the Body keep records of such reviews and decisions? YES NO

1.5 MARKETING AND ADVERTISING MATERIALS

Do the Body’s marketing materials give the impression that “commercial consultancy” activities are offered? YES NO

If Yes, Please detail:

Is the Body linked to an organization that provides “commercial” consultancy services? YES NO

Is there a documented policy/procedure to ensure that there is an effective separation between all conformity assessment activities and consultancy services?
YES NO N/A

Do the Body’s certification staff participate in “commercial consultancy”? YES NO

1.6 STAFF DECLARATIONS

Does the Body require all staff acting on its behalf to declare any potential conflict of interest? YES NO

1.7 COMPLIANCE

Does the Body comply with all the above independence and impartiality principles on an ongoing basis? YES NO

Note: If the answer is NO a Non-Conformity Report must be issued