

NHICC CERTIFICATION CHECKLIST

✘ 1. Responsibility for certification decisions

The certification body shall have final responsibility for granting, maintaining, extending, suspending and withdrawing certification.

✘ 2. Organizational structure and stakeholder involvement

The certification body shall be impartial; it shall not be financially dependent on single operations that are subject to its certification in any way that compromises its impartiality.

✘ 3. Management of impartiality

The certification body shall identify, analyze and document the possibilities for conflicts of interest arising from its provision of certification, including any conflicts arising from its relationships.

Rules and procedures shall be established to prevent or minimize threat of conflicts of interest. In particular, the certification body shall:

- a. Require personnel, committee and board members to declare existing or prior association with an operation subject to certification. Where such an association threatens impartiality, the certification body shall exclude the person concerned from work, discussion and decisions at all stages of the certification process related to the potential conflict of interest;
- b. Follow defined rules for appointing and operating committees involved in certification activities to ensure that decisions taken are not influenced by any commercial, financial and/or other interest.

✘ 4. Quality Management

The certification body shall address and document all applicable procedures, either in a manual or in associated documents, in order to ensure uniform and consistent application.

- a. The certification body shall define, document and implement a quality management system in accordance with the relevant elements of these requirements so as to impart confidence in its ability to perform certification. The quality management system shall be effective and appropriate for the type, range and volume of work performed.
- b. The management shall ensure that the quality management system is understood, implemented and maintained at all levels of the organization.

✘ 5. Maintaining and managing records

The certification body shall maintain a system of records (either electronic or paper documents) to demonstrate that the certification procedures have been effectively fulfilled, particularly with respect to application forms, evaluation or re-evaluation reports, and other documents relating to granting, maintaining, renewing, extending, suspending or withdrawing certification.

NHICC CERTIFICATION CHECKLIST

- a. The records shall be identified, managed and disposed of in such a way as to ensure the integrity of the process and the confidentiality of the information.
- b. Operator records shall be up to date and contain all relevant information, including inspection reports and certification history.
- c. Records shall also be kept on exceptions granted, appeals and subsequent actions.
- d. Records shall be kept for at least five years, or as required by law, in order to be able to demonstrate how certification procedures have been applied.

6. Internal audit and management review

The certification body shall demonstrate that it seeks and achieves continuous quality improvement.

It shall perform management reviews and internal audits according to the type, range and volume of certification performed.

7. Appeals and complaints

The certification body shall have in place policies and procedures for the resolution of complaints and appeals received from operators or other parties about the handling of certification or any other related matters. In particular, the certification body shall:

- a. Take appropriate subsequent action to resolve complaints and appeals; and
- b. Document the action taken and its effect.