



Requirements and evaluation methodology for certification bodies

Author:

Smart Ticketing Alliance

Editor:

Ludovic VERECQUE
PayCert
ludovic-verecque@paycert.eu

Philippe GUILLAUMIN
Calypso Networks Association
wg1leader@calypsonet-asso.org



REVISION LIST

Version	Date	Modifications
1.0	17-12-2013	Initial revision for STA
1.1	14-05-2014	Inclusion of remarks from 17/12/2013 CWG meeting
1.2	27-05-2016	Code of Ethics changed into Code of Conduct and others editorial changes

TABLE OF CONTENTS

1	INTRODUCTION	3
2	SCOPE	3
3	REFERENCED DOCUMENTS	3
4	GENERAL REQUIREMENTS.....	4
4.1	Legal and Contractual Matters	4
4.2	Management of impartiality	4
4.3	Liability and financing	5
4.4	Non-discriminatory conditions.....	5
4.5	Confidentiality	5
4.6	Publicly available information	6
5	STRUCTURAL REQUIREMENTS.....	6
5.1	Organizational structure and top management	6
5.2	Mechanism for safeguarding impartiality.....	6
6	RESOURCE REQUIREMENTS.....	6
6.1	Certification body personnel	6
6.2	Resources for evaluation	7
7	PROCESS REQUIREMENTS.....	7
7.1	General.....	7
7.2	Application.....	7
7.3	Application review	7
7.4	Evaluation	8
7.5	Review	8
7.6	Certification decision.....	8
7.7	Certification documentation	8
7.8	Directory of certified products	9
7.9	Surveillance	9
7.10	Changes affecting certification	9
7.11	Termination, reduction, suspension or withdrawal.....	9
7.12	Records	9
7.13	Complaints and appeals.....	9
8	MANAGEMENT SYSTEM REQUIREMENTS.....	10
8.1	Option A	10
8.2	Option B	10
9	PROPOSED EVALUATION METHODOLOGY	11

1 INTRODUCTION

STA members consider it is essential that public authorities and users can be confident in the quality of communication between contactless readers and fare media.

Therefore, they decided to define a certification process of the contactless communication which relies on a group of certification bodies chosen among members. These certification bodies will comply with the requirements of "ISO/IEC 17065:2012 - Conformity assessment – Requirements for bodies certifying products, processes and services", in a time frame still to be decided on.

2 SCOPE

For a transitional period, the certification bodies shall comply with the list of requirements of this document. They constitute a subset of the requirements of the referenced standard, with the objective to have a "light" procedure at the beginning of the implementation of the certification process.

This document mentions the clauses of the ISO/IEC 17065 and specifies the requirements, when they exist, related to these clauses, and precise how it could be audited.

Each requirements is allocated to one category among four :

- Ethical Matters (E).
- General Matters Structure and Ressources (G)
- Certification Process (P)
- Management System (M)

Cx.y.z This is an example of the numbering used for precise requirements, where C is the category allocated to the requirements and x.y.z the reference of the related clause of the [Iso17065], or of the first related clause when the requirements gathers several. The text relating to the requirement is the paragraph on the right of the requirement reference Cx.y.z, and the list of items or the table immediately below this paragraph (if present). The following paragraphs are not part of this requirement.

Method of evaluation, remarks and warning are indicated with a specific sign

- ✘ Details of the method proposed to assess the compliance with requirement
- △ Warning
- ⓘ Remarks

This document also summarize the methods used to assess the compliance

3 REFERENCED DOCUMENTS

[ToR] Terms of Reference

[Iso17065] ISO/IEC 17065:2012 - Conformity assessment – Requirements for bodies certifying products, processes and services



4 GENERAL REQUIREMENTS

This chapter corresponds to the chapter 4 of the [Iso17065]

4.1 Legal and Contractual Matters

4.1.1 Legal Responsibility

G4.1.1 *The certification body must be a legal entity, or a defined part of a legal entity, such that the legal entity can be held legally responsible for all its certification activities.*

- ① When the process of certification is partially delegated, the entity responsible is the signatory of the Certification Agreement with the Vendor.

4.1.2 Certification Agreement

G4.1.2 *The certification body shall have a legally enforceable agreement for the provision of certification activities to its clients. Certification agreements shall take into account the responsibilities of the certification body and its clients.*

- ✘ The certification body provides its Certification Agreement (or commercial contract for certification)

G4.1.3 *The certification body shall ensure its certification agreement requires that the client comply at least, with the following: see [Iso17065] §4.1.1.2 a) to k).*

- ✘ The Certification Agreement provided by the certification body is validated during the audit phase.

- ① To facilitate the validation, the Certification Agreement should includes the references to the clauses of the ISO/IEC 17065.

4.1.3 Use of license, certificates and marks of conformity

These actions should be managed at the STA level and therefore specify in the [ToR]

4.2 Management of impartiality

Several clauses of the [Iso17065] have been gathered

E4.2.1 *The certification body shall ensure its certification activities are undertaken impartially; the top management shall commit to impartiality and ensure all certification body personnel act impartially.*

- ① This requirement is related to the clauses 4.2.1, 4.2.5, 4.2.12, 5.1.1 and 5.1.4 of the [Iso17065]. It gathers the clauses that mentioned the organizational measures taken by the certification body to commit to impartiality.

- ✘ The certification body should draft a Code of Conduct as a written commitment. This Code could be managed at the STA level and may apply to all certification bodies.

E4.2.2 *The certification body shall not allow commercial, financial or other pressures to compromise impartiality.*

This requirement is related to the clause 4.2.2

- ✘ The certification body should provide a Code of Conduct as a written commitment.

Requirements 4.2.3, 4.2.4 and 4.2.11 refer to a risk analysis which is considered as too onerous in a first phase.

Requirement 4.2.6 should be postponed.

E4.2.7 *The certification body shall ensure that activities of separate legal entities, with which the certification body or the legal entity of which it forms a part has relationships, do not compromise the impartiality of its certification activities.*

Clause 4.2.7 of [Iso17065]

✘ The certification body should provide a Code of Conduct as a written commitment.

E4.2.9 *The certification body's activities shall not be marketed or offered as linked with the activities of an organization that provides consultancy. 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.*

Clause 4.2.9 of [Iso17065]

✘ The certification body should provide a Code of Conduct as a written commitment.

E4.2.10 *Within a period specified by the certification body, personnel shall not be used to review or make a certification decision for a product for which they have provided consultancy.*

Clause 4.2.10 of [Iso17065]

4.3 Liability and financing

G4.3.1 *The certification body shall have adequate arrangements (e.g. insurance or reserves) to cover liabilities arising from its operations.*

Clause 4.3.1

✘ The certification body should provide a certificate of insurance on an annual basis.

G4.3.2 *The certification body shall have the financial stability and resources required for its operations.*

Clause 4.3.2

✘ The certification body should provide its operating account.

4.4 Non-discriminatory conditions

E4.4.1 *The policies and procedures under which the certification body operates, and the administration of them, shall be non-discriminatory. Procedures shall not be used to impede or inhibit access by applicants, other than as provided for in this International Standard.*

Clause 4.4.1

✘ Written commitment: Code of Conduct.

E4.4.2 *The certification body shall make its services accessible to all applicants whose activities fall within the scope of its operations.*

Clause 4.4.2 and 4.4.3

✘ Written commitment: Code of Conduct .

E4.4.4 *The certification body shall confine its requirements, evaluation, review, decision and surveillance (if any) to those matters specifically related to the scope of certification.*

Clause 4.4.4

✘ Written commitment: Code of Conduct .

△ It should also be stated in a STA certification procedure, that a vendor can contact the board of STA in case of issue with the certification body.

4.5 Confidentiality

G4.5.1 *The certification body shall be responsible, through legally enforceable commitments, for the management of all information obtained or created during the performance of certification activities*

Clause 4.5.1



✘ The NDA draft by the certification body is validated. .

G4.5.2 *When the certification body is required by law or authorized by contractual arrangements to release confidential information, the client or person concerned shall, unless prohibited by law, be notified of the information provided.*

Clause 4.5.2.

① This item should be in the Certification Agreement. .

4.6 Publicly available information

P4.6 *The certification body shall maintain (through publications, electronic media or other means), and make available upon request, the following: see [Iso17065] §4.6 a) to d)*

It should be available on the STA website.

△ The cost of certification should certainly managed by each certification body, to avoid to be accused of any price agreement.

5 STRUCTURAL REQUIREMENTS

This chapter corresponds to the chapter 5 of the [Iso17065]

5.1 Organizational structure and top management

G5.1.1 *Certification activities shall be structured and managed so as to safeguard impartiality.*

Clause 5.1.1

✘ Written commitment: Code of Conduct.

G5.1.2 *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.*

Clause 5.1.2

✘ The certification body should provide an Organization Chart. .

△ The original clause 5.1.3 of the [Iso17035] have been abandoned, considering that, in this first step, the Organization Chart is enough. The 5.1.4 is considered as a part of the requirements E4.2.1.

5.2 Mechanism for safeguarding impartiality

The related clauses are postponed for a future usage.

6 RESOURCE REQUIREMENTS

This chapter corresponds to the chapter 6 of the [Iso17065]

6.1 Certification body personnel

6.1.1 General

Only the clause about the confidentiality has been kept.

G6.1.1 *Personnel, including any committee members, personnel of external bodies, or personnel acting on the certification body's behalf, shall keep confidential all information obtained or created during the performance of the certification activities, except as required by law or by the certification scheme.*

✘ The audit verifies with the certification body that a Personnel Confidentiality Agreement is available and signed by all concerned.

6.1.2 Management of competence for personnel involved in the certification process

All the clauses of this item are postponed.

6.1.3 Contract with the personnel

See G6.1.1 : should be include in a unique Personnel Confidentiality Agreement .

6.2 Resources for evaluation

The following requirement is applicable to both internal and external evaluation resources.

G6.2 *For testing, the test laboratory shall meet the applicable requirements of ISO/IEC 17025*

6.2.1 Internal resources

This clause is too heavy in a first stage.

6.2.2 External resources

The clauses of the [Iso17065] §6.2.2 concern the relationship between the certification body and the laboratory.

G6.2.2 *For testing, the test laboratory shall meet the applicable requirements of ISO/IEC 17025 (in particular the impartiality requirements of the evaluation personnel stipulated in the standard shall be applicable).*

The certification body shall have a legally binding contract with external test labs to enforce this requirement and to ensure that the evaluation activities are managed in a manner which provides confidence in the results, and that records are available to justify the confidence.

✘ A contract/procedure to habilitate/audit the external labs exists.

7 PROCESS REQUIREMENTS

This chapter corresponds to the chapter 7 of the [Iso17065]

7.1 General

The original clause §7.1 in the document [Iso17065] is mainly written when exist several certification scheme.

7.2 Application

P7.2 *The certification process begins with an application phase during which the CB shall obtain all the necessary information to complete the certification process in accordance with the relevant certification scheme. ...*

In order to streamline the certification process the STA should define a unique ICS form, independent from the certification body.

7.3 Application review

P7.3 *The certification body shall conduct a review of the information obtained in the ICS and decline to undertake the certification*

Clause §7.3.1 and §7.3.4; clauses §7.3.2 and §7.3.3 are not relevant (except for new type of product?)

✘ The certification body uses a written Certification Procedure that describes the application review. This phase should also be described in a STA certification procedure.

7.4 Evaluation

P7.4.1 *The certification body shall have a plan for the evaluation activities to allow for the necessary arrangements to be managed.*

P7.4.5 *The certification body shall only rely on evaluation results related to certification completed prior to the application for certification, where it takes responsibility for the results and satisfies itself that the body that performed the evaluation fulfils the requirements contained in G6.2.2 and those specified by the certification scheme.*

△ Evaluation before certif. Application authorised or not ?

Requirements 7.4.7 – 7.4.8 are not applicable as non-regression or partial evaluation of the product is not in the scope of the current certification process

P7.4.6 *The certification body shall inform the client of all non conformities.*

P7.4.9 *The results of all evaluations shall be documented prior to the review. At the end of the evaluation phase the laboratory shall issue a Test Report (or Evaluation Report)*

✘ Certification Process review

This phase should also be described in a STA certification procedure.

7.5 Review

P7.5.1 *The certification body shall assign at least one person to review all information and results related to the evaluation. The review shall be carried out by person(s) who have not been involved in the evaluation process.*

P7.5.2 *Recommendations for a certification decision based on the review shall be documented, unless the review and the certification decision are completed concurrently by the same person.*

✘ Certification Process review

This phase should also be described in a STA certification procedure.

7.6 Certification decision

P7.6.1 *The certification body shall be responsible for, and shall retain authority for, its decisions relating to certification.*

P7.6.2 *The certification body shall assign at least one person to make the certification decision based on all information related to the evaluation, its review, and any other relevant information. The certification decision shall be carried out by a person or group of persons that has not been involved in the process for evaluation.*

P7.6.6 *The certification body shall notify the client of a decision not to grant certification, and shall identify the reasons for the decision.*

✘ Certification Process review

This phase should also be described in a STA certification procedure.

7.7 Certification documentation

P7.7 *The certification body shall the client with formal certification document that clearly...*

In order to streamline the certification process the STA should define a unique template for the certification letter to be used by the certification body. This phase should also be described in a STA certification procedure.

✘ Certification Process review

7.8 Directory of certified products

P7.8 *The directory of certified products is managed at the STA level (on the STA website) therefore the certification body must inform STA of any newly certified product and inform their client that the information is transmitted to and published by STA.*

Can the certification body also maintain their own directory of certified products ?

✘ Certification Process review

7.9 Surveillance

At this stage the surveillance process will be implemented by STA. The CB will cooperate with STA to perform the surveillance of the Product.

7.10 Changes affecting certification

P7.10.1 *If a new applicable version of the STA Certification procedure becomes applicable and affects the client, the certification bdy shall ensure that these changes are communicated to the clients*

The STA will decide in cooperation with the certification bodies the actions to implement changes affecting certification.

✘ Certification Process review

7.11 Termination, reduction, suspension or withdrawal

This phase should also be described in a STA certification procedure.

7.12 Records

P7.12.2 *The certification body shall keep records confidential. Records shall be transported, transmitted and transferred in a way that ensures confidentiality is maintained*

7.12.3 is not applicable at this stage.

✘ Certification Process review
This phase should also be described in a STA certification procedure.

7.13 Complaints and appeals

P7.13 *The certification body shall transmit all complaints and appeals to the STA that will implement the process to inform the client, receive, evaluate and make decisions.*

✘ Certification Process review
This phase should also be described in a STA certification procedure

8 MANAGEMENT SYSTEM REQUIREMENTS

The Certification Body shall establish and maintain a management system that is capable of achieving the documentary management part of ISO 9001

8.1 Option A

8.1.1 General management system documentation

M8.2.4 *All documentation, processes, systems, records, etc. related to the fulfilment of the requirements of this International Standard shall be included, referenced, or linked to documentation of the management system.*

M8.2.5 *All personnel involved in certification activities shall have access to the parts of the management system documentation and related information that are applicable to their responsibilities..*

8.1.2 Control of documents

M8.3.1 *The certification body shall establish procedures to control the documents (internal and external) that relate to the fulfilment of this International Standard.*

M8.3.2 *The procedures shall define the controls needed to:*

- a) approve documents for adequacy prior to issue;*
- b) review and update (as necessary) and re-approve documents;*
- c) ensure that changes and the current revision status of documents are identified;*
- d) ensure that relevant versions of applicable documents are available at points of use;*
- e) ensure that documents remain legible and readily identifiable;*
- f) ensure that documents of external origin are identified and their distribution controlled;*
- g) prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.*

8.1.3 Control of records

M8.4.1. *The certification body shall establish procedures to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of its records related to the fulfilment of this process.*

M8.4.2 *The certification body shall establish procedures for retaining records for a period consistent with its contractual and legal obligations. Access to these records shall be consistent with the confidentiality arrangements.*

✘ Review of the documentary management process and of the procedures for control of documents and records.

8.2 Option B

The Certification body that has established and maintains a management system in accordance with the ISO 9001 fulfil this management system clause requirement

9 PROPOSED EVALUATION METHODOLOGY

Requirements	Evaluation methodology
Ethical Matters	Commitment by the Certification Body to abide by a Code of Conduct containing the GCB requirements
General matters Structure Resources	<p>The certification body will provide the following information/documents :</p> <p>Certification Agreement (4.1.1, 4.1.2, 4.1.3) Certificate of insurance & operating account (4.3.1 to 4.3.2), Non Disclosure Agreement (4.5.1 to 4.5.2), Organization chart (5.1.2), Personal Confidentiality Agreement (6.1.1 simplified, 6.1.3simplified), Contract/procedure for external lab accreditation (6.2.2 if applicable), Management System (if option A : a procedure for the management of the documentation system describing the control of documents and records; if option B : an ISO 9001 certificate)</p> <p>The aforementioned documents will be reviewed by an auditor in order to assess the compliance with the GCB requirements.</p> <p>This task will be carried-out following the application of the candidate Certification Body</p>
Certification Process	<ul style="list-style-type: none"> - The Certification Body will have its certification process reviewed during an on-site audit to verify that the GCB requirements are implemented (P_7.2 to P_7.13) - The test laboratory working with the candidate Certification Body will submit its test tools to the STA test tool validation process <p>These two tasks will be carried-out following the application of the candidate Certification Body.</p> <p>In order to maintain membership to the GCB these two tasks will be executed following a frequency to be determined further on by the GCB.</p> <p>The certification process audit will not be mandated in case the Certification Body is ISO17065 accredited by its National Accreditation Body.</p>

