



**GENERAL REQUIREMENTS FOR
CERTIFICATION BODIES:
CERTIFICATION OF PERSONS SCHEME**

APO-AB 1003:2020

Issue 4

Issue 4 supersedes Issue 3 (APO-AB 1003:2020/Issue 3, 2020) dated 26 February 2020, which has been technically revised.

**GENERAL REQUIREMENTS FOR CERTIFICATION BODIES:
CERTIFICATION OF PERSONS SCHEME**

**APO-AB 1003:2020
Issue 4**

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1. Introduction

This document specifies the accreditation procedures and general requirements for certification bodies (CBs) operating APO certification of persons (APO-CoP) schemes. The requirements developed by the APO Accreditation Body (APO-AB) for CBs operating APO-CoP schemes were adapted from ISO/IEC 17024:2012–Conformity Assessment, General Requirements for Bodies Operating Certification of Persons.

Compliance with the requirements ensures the competence and reliability of CBs in conducting CoP. These requirements should be read in conjunction with the following documents:

ISO/IEC 17024:2012, Conformity Assessment, General Requirements for Bodies Operating Certification of Persons;

CASCO Document, How to Develop Schemes for the Accreditation of Persons (ISO/IEC 17024);

ISO/IEC TS 17027:2014, Conformity Assessment, Vocabulary related to competence of persons Used for Certification of Persons;

APO certification scheme under which a CB is seeking accreditation; and

Other additional rules or specific requirements that may be issued/endorsed as APO-CoP requirements relating to schemes for CoP.

2. References, Terms, and Definitions

For the purpose of this document, the normative references, terms, and definitions are as stated and defined in ISO/IEC 17024.

In addition, the following definitions apply:

2.1 Accreditation criteria: A set of requirements that a CB shall meet to be accredited under the APO-CoP.

2.2 Accredited CB operating CoP: A CB to which an APO-CoP accreditation certificate has been granted.

2.3 Approved signatory: A person assigned/approved under the APO-CoP system to sign APO-CoP-endorsed accreditation reports issued by the APO-AB.

2.4 APO-AB: Asian Productivity Organization Accreditation Body.

2.5 Certificate of accreditation: A certificate issued by the APO-AB attesting that a CB is recognized as competent to perform CoP under the APO-CoP accreditation system.

2.6 Suspension: Accreditation held in abeyance by the APO-AB. This term applies to all or part of the activities under the scope of accreditation of an accredited CB. No

further CoP certificates may be issued by an accredited CB for the suspended activities.

2.7 APO-CoP accreditation: APO-AB recognition that a CB is competent to carry out CoP.

2.8 Schedule of accreditation: A schedule issued with a certificate of accreditation listing the accredited scopes of CoP schemes that the APO-AB recognizes a CB is competent to perform.

2.9 APO-CoP certificate: A certificate that includes the APO-AB accreditation symbol/logo or a statement that a CB is accredited under the APO-CoP scheme and that the CoP scheme is performed in accordance with APO-CoP requirements and conditions.

2.10 Certification body (CB): A CB is an organization responsible for all tasks in the operation of the APO-CoP scheme. (Note: A CB can be an NPO, a government agency or authority, or another entity.)

2.11 Certification scheme owner: Asian Productivity Organization (APO).

2.12 APO Certification of Persons Accreditation Scheme (APO-CoP): The APO-CoP is an APO-AB accreditation scheme for the accreditation of CBs operating CoP and administered by the APO-AB.

2.13 APO Certification Scheme for Persons (APO CoP): The schemes developed and maintained by the APO to certify professionals with specific competencies in productivity enhancement-oriented areas.

2.14 Extraordinary event or circumstance: A circumstance beyond the control of the organization, commonly referred to as “force majeure” or “an act of God.” Examples are wars, strikes, riots, political instability, geopolitical tension, terrorism, crimes, pandemics, flooding, earthquakes, malicious computer hacking, and other natural or man-made disasters.

3. Eligibility for Application for Accreditation

CBs that intend to apply for accreditation for the APO CoP scheme shall meet the following criteria:

3.1 Have certified at least five (5) persons under the scheme for which accreditation is sought.

3.2 Have completed at least one internal audit and one management review.

4. Authority for the Granting of APO-CoP Accreditation

4.1 General

4.1.1 Under the APO-CoP Accreditation Scheme, the APO-AB Council is responsible for all policies regarding the accreditation of CBs.

4.1.2 The classification of APO-AB documentation and procedures is given in **Clause 7.1 APO-AB 6001** Personnel Records, Document Control, and Record Control.

4.2 Criteria for Competence, Procedures, and Amendment of Conditions

4.2.1 The APO-AB has the right to prescribe the relevant criteria under which a CB is assessed.

4.2.2 The accreditation standard adopted by the APO-AB is as set out in document ISO/IEC 17024, Conformity Assessment, General Requirements for Bodies Operating Certification of Persons. It contains the requirements the CB shall meet to demonstrate capability and competency in certifying persons for a specific scope and that its certification scheme meets Clause 8 of ISO/IEC 17024 to the extent applicable to APO CBs. A guidance checklist is given in **Appendix 2**.

4.2.3 Any other additional criteria may be prescribed at the discretion of the APO-AB. The APO-AB shall specify the procedures for application for accreditation, as stated in **APO-AB 4001 Procedure for Accreditation of Certification Bodies**, and the conditions for granting, maintaining, extending, reducing, suspending, reinstating, and renewing accreditation.

4.2.4 The APO-AB reserves the right to amend, alter, add, or delete any part of these regulations and procedures if it believes that such alterations, amendments, or additions are reasonable and necessary to maintain the credibility or smooth operation of accreditation of the APO-CoP.

4.2.5 In the event of such alterations, a reasonable time shall be given to a CB to carry out the necessary adjustments to its procedures and certification schemes to comply with the altered terms and conditions. Unless otherwise specified, a transition time of six months from the date of notification of change by the APO-AB shall be given for a CB to carry out the necessary adjustments to its procedures. Accredited CBs shall notify the APO-AB when such adjustments have been completed. If necessary, the APO-AB may verify the changes through an adequacy and/or onsite assessment depending upon the circumstances.

4.3 Processing and Granting of Accreditation

4.3.1 Initial Accreditation

When an application for CB accreditation is received and **the application form APO-AB 2001 (Appendix 1)** is confirmed to contain sufficient information, the CB shall sign Agreement **APO-AB 3006** with the APO-AB.

4.3.2 All CBs shall comply with and fulfill the following requirements:

- a) Extend cooperation to the APO-AB in conducting assessment activities for accreditation;

- b) Provide access to CB personnel, locations, information, reports, and documents relevant to performing the assessment for accreditation;
- c) Claim accreditation only with respect to the scope for which a CB has been accredited;
- d) Not use accreditation in any manner that would bring the APO-AB into disrepute;
- e) Inform the APO-AB without delay of significant changes relevant to accreditation such as legal status, organizational structure, and scope of accreditation;
- f) Assist in the investigation and resolution of any accreditation-related complaints involving the APO-AB; and
- g) Follow the APO-AB policy on the use of the accreditation symbols/logos.

4.3.3 An application for accreditation shall be valid for two years from the date of acceptance of the application and lapse at the end of the two-year period if accreditation is not successful. The APO-AB reserves the right to extend this period as it deems appropriate.

4.3.4 Two-stage Assessments

The APO-AB shall assess the applicant CB by performing:

- 1) **Stage 1 Assessment.** Adequacy assessment through a review of its quality manual and associated documents in meeting ISO/IEC 17024 and other requirements.

(Note: Depending upon circumstances, a preliminary visit to the applicant CB may be carried out at the request of the CB or APO-AB with the agreement of the CB. The preliminary visit is not an assessment visit.)

- 2) **Stage 2 Assessment.** Assessment to establish whether a CB is capable and competent in developing and operating the CoP scheme for which it seeks accreditation. The assessment shall include a witnessed evaluation (in personnel certification, CBs do not conduct audits) based on a sampling of activities in accordance with **APO-AB 4014 Procedures for Witnessing Audit.**

(Note: The checklist **APO-AB 2007:2020** for Assessing CBs based on APO-AB 1003:2020 is given in **Appendix 2.**)

- 3) The above two phases of assessment may follow the traditional methodology of CBs involving physical office and onsite assessments of CBs and/or using online or remote e-assessments to complement the traditional physical assessment. However, remote assessment is performed only upon mutual agreement between the APO-AB and the CB

to be assessed. The principles and approach used will follow the IAF Informative Document IAF ID 12 on Principles on Remote Assessment.

- 4) In the case of an extraordinary event or circumstance that affects the operations and activities of a CB, the APO-AB accreditation approach or methodology may follow the guidelines outlined in IAF ID 3 Document for Management of Extraordinary Events or Circumstances Affecting ABs, CABs and Certified Organization, except for Clause 5.1, Breakdown of an AB (until the APO-AB becomes an MLA signatory of the IAF).

4.3.5 Accreditation Decision Making

The APO-AB shall only consider the granting of accreditation upon satisfactory resolution of all nonconformities found during assessments.

4.3.6 Accreditation Certificate

The APO-AB shall grant an APO-CoP certificate of accreditation after it is satisfied that a CB complies with these conditions and all APO-CoP criteria.

4.3.7 Accreditation Cycle

The certificate of accreditation shall be valid for four years from the date of approval by the Chair of the APO-AB. Thereafter the certificate is renewable at four-year intervals subject to meeting the requirements.

4.3.8 The certificate of accreditation is not transferable.

4.3.9 Subject to the limitations stated in these conditions, changes in the certificate of accreditation such as a change in the name of a CB or its organizational structure, change in its legal status, change of address or premises, change in approved signatories, or other editorial changes may be considered by the APO-AB if in its opinion those changes do not constitute significant changes to the CB quality system and do not affect its technical competence. The APO-AB reserves the right to conduct an assessment or other forms of evaluation to confirm continued compliance with the APO-CoP accreditation criteria, if required.

4.3.10 All accredited CBs shall be listed in a directory maintained by the APO-AB.

4.4 Monitoring, Surveillance, and Reassessment of CBs

4.4.1 The APO-AB shall indicate how the monitoring of compliance with these conditions and the relevant APO-CoP accreditation criteria are to be carried out.

4.4.2 The APO-AB shall schedule assessments of accredited CBs and their certification schemes as shown in Tables 1 and 2.

Table 1. First cycle of accreditation.

Surveillance 1	Approximately 12 months from the granting/renewal date
Surveillance 2	Approximately 15 months from the surveillance date
Reassessment	Approximately 3 months before the expiration date

Table 2. Subsequent cycle of accreditation.

Surveillance	Approximately 18 months from the previous expiration date
Reassessment	Approximately 6 months before the expiration date

Notes:

- 1) Remote assessment methodology as mentioned in 4.3.4.3) may be used by mutual agreement between the APO-AB and the CB concerned.
- 2) The interval between assessments shall not be more than two years.

4.4.3 In addition to or as part of its program of surveillance, the APO-AB reserves the right to assign an expert/s to carry out unscheduled assessments of accredited CBs if there are reasons to suspect that they or their certification schemes have failed in their obligations to meet the APO-CoP accreditation criteria or conditions.

4.5 Significant Changes in CB Activities

The APO-AB developed the procedure **APO-AB 4010 Handling Significant Changes in Its Accredited CBs** which includes organizational changes, authorized signatory, key personnel involved in the certification scheme, scope of accreditation, and changes in premise location.

4.6 Suspension of Accreditation and Appeal

Suspending Accreditation

4.6.1 The APO-AB may at its discretion suspend accreditation if the following occur:

- a) Violation of the terms and conditions of accreditation;
- b) Failure to provide reasonable cooperation with or facilities for APO-AB assessors and/or authorized agents to discharge their official duties; and
- c) In the reasonable view of the APO-AB, an accredited CB makes unreasonable or irresponsible use of a subcontract.

4.6.2 The APO-AB reserves the right to determine the period of suspension of accreditation depending on the severity of the nonconformities in relation to the APO-AB accreditation criteria and conditions.

4.6.3 Before the APO-AB suspends a certificate of accreditation, it shall issue a notice to the accredited CB. The CB is required to show cause for why the certificate of accreditation should not be suspended within 14 working days of receipt of the notice.

4.6.4 If a written response is received, the APO-AB shall consider the explanations given and offer the accredited CB an opportunity to be heard by the Accreditation Review Panel (ARP) as soon as possible, following the appeal procedure in **APO-AB 4008 Flow Chart for Assessment**.

4.6.5 If no response to the notice of suspension is received by the APO-AB, the accreditation shall be suspended after the 14-day period and the CB shall be informed of the suspension in writing.

Reducing the Scope of Accreditation

4.6.6 A CB that has been suspended cannot issue APO-CoP-endorsed certificates for the suspended certification scheme/scope.

4.7 Confidentiality

4.7.1 All information obtained by the APO-AB, its assessors, and authorized agents in processing, granting, maintaining, renewing, extending, reducing, and suspending accreditation shall be treated as confidential between the APO-AB and the accredited CB. Such information shall be handled on a strict need-to-know basis and shall not be divulged without the written permission of the CB unless required by law.

4.7.2 The APO-AB and its committees, assessors, and technical experts shall be made aware of and abide by this requirement for confidentiality.

5. Obligations of CBs

5.1 General

5.1.1 Participation in the APO-CoP does not in any way exempt CBs from or diminish their responsibilities in observing/complying with existing laws and regulations currently enforced in their countries.

5.1.2 CBs shall at all times:

- a) Maintain practices and certification schemes to a standard complying with APO-CoP regulations, accreditation criteria of the APO-AB and ISO/IEC 17024, and other conditions and requirements prescribed by the APO-AB;
- b) Offer all clients a standard of quality service consistent with APO-CoP regulations, accreditation criteria, and requirements and maintain credibility and commercial integrity in all operations;
- c) Inform the APO-AB of any significant change that may affect its accreditation;

- d) Not use APO-AB accreditation or certificate of accreditation in any manner that would bring the APO-CoP scheme into disrepute and not make any statement pertaining to its accreditation which the APO-AB may reasonably consider to be misleading;
- e) Endeavor to ensure that no APO-CoP-endorsed certificate or any part thereof shall be used by a client or be authorized for use by a client for promotional or publicity purposes if the APO-AB considers such use to be misleading; and
- f) Retain a record of all reports for at least one accreditation cycle plus the current cycle or as required by law or organizational or contractual arrangements.

5.2 Impartiality, Independence, and Integrity

5.2.1 CBs and their personnel shall be free from any commercial, financial, and other pressures or inducements that might influence their technical judgment and evaluations.

5.2.2 CBs shall not allow external persons or organizations to influence the results of CoP.

5.2.3 CBs shall not engage in any activity that may endanger trust in its independence of judgment and integrity in relation to its activities.

5.3 APO-CoP-endorsed Certificates

5.3.1 All APO-CoP-endorsed accreditation certificates shall be signed by the Chair of the APO-AB Council for the scheme/scope of APO-CoP accreditation.

5.3.2 All APO-CoP-endorsed accreditation certificates shall carry the APO-AB symbol/logo of accreditation of CBs for the CoP scheme and contain the accreditation certificate identification number.

5.4 Cooperation with the APO-AB

CBs shall offer the APO-AB, its assessors, and technical experts all cooperation necessary to enable the monitoring of compliance with the regulations and requirements of ISO/IEC 17024 and any other relevant accreditation criteria. This cooperation includes:

- a) Affording the APO-AB, its assessors, and technical experts reasonable access to relevant areas of a CB to observe the CoP scheme;
- b) Preparing, packaging, and dispatching, at the expense of the CB involved, the documents, reports, or other items needed by the APO-AB;

- c) Permitting assessment by the APO-AB, its assessors, and technical experts of the results of the CB's own internal audits and management reviews; and
- d) Assisting the APO-AB, its assessors, and technical experts in the investigation and resolution of any authenticated complaints made by third parties or outside parties concerning the CB's accredited CoP scheme.

5.5 Liabilities

5.5.1 An accredited CB shall have full control of the issue of accredited certification following the regulations and criteria set out by APO-AB. The CB shall therefore take full responsibility and liability for the issuing of all certification.

5.5.2 The CB shall indemnify the APO-AB from all liabilities that may result from claims arising from CB certification.

5.6 Notification of Change

5.6.1 An accredited CB shall inform the APO-AB immediately of any changes affecting its compliance with these requirements and the CB's capability, competence, integrity, independence, or certification scheme/scope of activity. Such significant changes in an accredited CB include:

- a) Changes in personnel or certification scheme/scope of activity of an accredited CB;
- b) Any change in the CB's organization and management, e.g., head of the CB or quality manager;
- c) Any change, transfer, redesignation of duties, or resignation of key CB personnel, approved signatories, authorized representatives, and other senior CB staff;
- d) Changes in duties of approved signatories;
- e) Changes in address, premises, facilities, or other resources;
- f) Any change in the CB's legal, commercial, or organizational status; and
- g) Changes in the CB's policy and procedures.

5.6.2 Any notice or other communication required to be given or sent under these regulations by the APO-AB and its authorized agents shall be deemed to be given or sent if sent by registered post, email, or telefax to the postal address, email address, or telefax number of the accredited CB last known to the APO-AB and deemed to be given at the time when it would have been delivered by any of these means under normal circumstances.



APPLICATION FORM APO-AB 2001:2020

Application for Accreditation of a Certification Body (CB) Operating APO Certification of Persons

FOR OFFICE OF APO ACCREDITATION BODY USE ONLY

Accreditation Application Number: _____

SECTION A (Type of Application)

Please select the type of application (check one)

1. Initial Accreditation
2. Reaccreditation
3. Extending the Accreditation Scope

SECTION B (Accreditation Scheme)

Please select the scheme being applied for (check one)

1. Productivity Specialists Certification Scheme
2. Green Productivity Specialists Certification Scheme

SECTION C (General Data on the Applicant CB)

Name of Applicant CB: _____

CB Registration No.
(if applicable): _____

CB Address: _____

City: _____

Country: _____

Telephone: _____

Fax: _____

Website: _____

Name of Head of Applicant CB: _____

Email: _____

Telephone: _____

Fax: _____

Name of Contact Person/ Representative: _____

Position: _____

Telephone: _____

Mobile: _____

Email: _____

Fax: _____

SECTION D (Organizational Structure and Management System)

<p>1. Is the applicant CB a registered organization or part of a larger organization? Please specify:</p> <p>Please describe the larger organization if applicable:</p>
<p>2. Is the applicant organization involved/engaged in any activities other than personnel certification? Please check one <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, please specify:</p>
<p>3. Does the applicant CB have a management system complying with APO 1003:2020 requirements? Please check one <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, please specify:</p>

4. Total no. of staff in applicant organization:	
No. of auditors:	
No. of examiners:	_____
No. of administrative & support staff and others:	_____
No. of contracted associate auditors	_____
No. of contracted examiners:	_____
5. Does the CB subcontract certification activities? Please check one <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please list the subcontracted activities:	

DECLARATION

We hereby declare that all information and attachments provided are updated and correct. We also commit to continually fulfilling the requirements for accreditation for the scope under which accreditation is sought or granted and to providing evidence of fulfilment. This includes agreement to adapt to changes in the requirements for accreditation.

Authorized signature:

Name: _____

Position: _____

Date: _____

Please attach the following documents with the application.

Check for attached documents

1. Organization chart of applicant CB
2. Description of applicant CB's relationship with parent organization and line of reporting, if applicant is part of a larger organization
3. List of key personnel in applicant CB
4. Quality manual and all relevant documents and records (e.g., for internal audit and management review) relating to APO 1003:2020 requirements
5. List of all certification schemes operated by applicant CB
6. List of registered auditors, examiners, and technical experts and their qualifications and work experience (under the APO scheme applied for)
7. List of certified persons (under the APO scheme applied for)

(to be attached) This checklist is a guide to address the requirements developed by the APO-AB for CBs operating APO-CoP schemes to be referred to and complied with.

Checklist to APO-AB CB

APO-AB 2007:2020

Issue 1

1. Name of the CB:	
2. Accreditation applied for:	

CONFORMITY ASSESSMENT – GENERAL REQUIREMENTS FOR BODIES OPERATING CERTIFICATION OF PERSONS

Checklist to APO-AB CB

Reference Clause (APO-AB 1003/ 4001)	Requirements	Reference by CB to its Document with Clause Number	Compliance		Comments								
			Yes	No									
3. (1003)	Eligibility for Application for Accreditation Criteria for Application CBs that intend to apply for accreditation for the APO CoP scheme shall meet the following criteria:												
3.1 (1003) 4.1.1.1. a) (4001)	The Certification Body (CB) has certified at least five (5) persons under the scheme for which accreditation is sought.												
3.2 (1003) 4.1.1.1. a) (4001)	The CB has completed at least one internal audit and one management review.												
4. (1003)	Authority for the Granting of APO-CoP Accreditation												
4.1.2 (1003)	The classification of APO-AB documentation and procedures is given in Clause 7.1 APO-AB 6001 Personnel Records, Document Control, and Record Control.												
	<p>Reference: APO-AB 6001 The APO-AB has developed a classification of documents to be reviewed and approved as shown in Table 1.</p> <p align="center">Table 1. APO-AB documentation system.</p> <table border="1"> <thead> <tr> <th>Level</th> <th>Type of Document*</th> <th>Reviewed by</th> <th>Approved by</th> </tr> </thead> <tbody> <tr> <td align="center">1</td> <td>Accreditation documents such as policies, accreditation criteria, and quality manuals</td> <td>Management representative</td> <td>APO-AB Council</td> </tr> </tbody> </table>	Level	Type of Document*	Reviewed by	Approved by	1	Accreditation documents such as policies, accreditation criteria, and quality manuals	Management representative	APO-AB Council				
Level	Type of Document*	Reviewed by	Approved by										
1	Accreditation documents such as policies, accreditation criteria, and quality manuals	Management representative	APO-AB Council										

Reference Clause (APO-AB 1003/ 4001)	Requirements				Reference by CB to its Document with Clause Number	Compliance		Comments
						Yes	No	
	2	Procedures, selection of TWG and ARP members, and CB documents	Management representative	Chair of APO-AB				
	3	Forms, checklists, standard letters, and information/reference materials	Accreditation officer/scheme officer	Management representative				
	4	Documents of external origin,* e.g., international and industry standards and regulations, and documents issued by external bodies relevant to and used in APO-AB accreditation programs	Accreditation officer/scheme officer	Management representative				
	*Accreditation officers should ensure that all users refer to the latest/current versions.							
4.2 (1003)	Criteria for Competence, Procedures, and Amendment of Conditions							
4.2.1	The APO-AB has the right to prescribe the relevant criteria against which a CB is assessed.							
4.2.2	The accreditation standard adopted by the APO-AB is as set out in document ISO/IEC 17024, Conformity Assessment, General Requirements for Bodies Operating Certification of Persons. It contains the requirements the CB shall meet to demonstrate capability and							

Reference Clause (APO-AB 1003/ 4001)	Requirements	Reference by CB to its Document with Clause Number	Compliance		Comments
			Yes	No	
	competency in certifying persons for a specific scope and that its certification scheme meets Clause 8 of ISO/IEC 17024 to the extent applicable to APO CBs. A guidance checklist is given in APO-AB 1003 Appendix 2 .				
4.2.3	Any other additional criteria may be prescribed at the discretion of the APO-AB. The APO-AB shall specify the procedures for application for accreditation, as stated in APO-AB 4001 Procedure for Accreditation of Certification Bodies , and the conditions for granting, maintaining, extending, reducing, suspending, reinstating, and renewing accreditation.				
4.3 (1003) 4.1 (4001)	Processing and Granting of Accreditation Initial Accreditation				
4.1.1 (4001)	Application for Initial Accreditation				
4.1.1.1	A CB shall make a formal application by submitting the APO-AB application form together with the necessary documents listed in the application form APO-AB 2001 (APO-AB 1003 Appendix 1) .				
4.3.1 (1003) 4.1.1.2 (4001)	When an application for CB accreditation is received and the application form is confirmed to contain sufficient information, the CB shall sign Agreement APO-AB 3006 with the APO-AB.				
4.3.2 (1003)	CB shall comply with and fulfil the following requirements:				
a)	Extend cooperation to the APO-AB in conducting assessment activities for accreditation;				
b)	Provide access to CB personnel, locations, information, reports, and documents relevant to performing the assessment for accreditation;				
c)	Claim accreditation only with respect to the scope for which a CB has been accredited;				
d)	Not use accreditation in any manner that would bring the APO-AB into disrepute;				

Reference Clause (APO-AB 1003/ 4001)	Requirements	Reference by CB to its Document with Clause Number	Compliance		Comments
			Yes	No	
e)	Inform the APO-AB without delay of significant changes relevant to accreditation such as legal status, organizational structure, and scope of accreditation;				
f)	Assist in the investigation and resolution of any accreditation-related complaints involving the APO-AB; and				
g)	Follow the APO-AB policy on the use of the accreditation symbols/logos.				
4.3.3 (1003) 4.1.1.3 (4001)	An application for accreditation shall be valid for two years from the date of acceptance of the application and lapse at the end of the two-year period if accreditation is not successful. The APO-AB reserves the right to extend this period as it deems appropriate.				
4.3.4 (1003) 4.1.2 (4001)	The APO-AB shall assess the applicant CB by performing: Two-stage Assessment				
1) (1003) 4.1.2.1 (4001)	Stage 1 – Document or Adequacy Assessment Adequacy assessment through a review of its quality manual and associated documents in meeting ISO/IEC 17024 and other requirements. a) The APO-AB identifies the assessment team and lead assessor from the List of Approved Qualified and Competent Assessors APO-AB 7001 . The identified lead assessor and assessment team members shall have the required knowledge of and skills in the specific scope of the accreditation applied for, with no conflicts of interest, and ensure the objectivity, confidentiality, and impartiality of their activities. All assessors and technical experts shall sign an Assessor Agreement pledging to maintain confidentiality. The CB seeking accreditation shall be notified of the lead assessor and assessment team members.				

Reference Clause (APO-AB 1003/ 4001)	Requirements	Reference by CB to its Document with Clause Number	Compliance		Comments
			Yes	No	
	<p>b) If there is a need to use assessors and technical experts who are not on the APO-AB 7001, the APO-AB Procedure for Selecting, Training, and Formally Authorizing Assessors and Technical Experts is followed.</p> <p>c) Assessors and technical experts follow the APO-AB Procedure for Selecting, Training, and Formally Authorizing Assessors and Technical Experts.</p> <p>d) The CB provides the APO-AB assessment team with its most current documents and records.</p> <p>e) The assessment team reviews all relevant documents supplied by the CB to evaluate and assess the CB's conformity assessment system for compliance with the ISO/IEC 17024 standard and APO-AB CoP standards and guides related to the scope of accreditation. The lead assessor is responsible for the conclusion.</p> <p>f) A report on stage 1 containing observations, comments, and notes on any deficiencies and examples of noncompliance shall be given to the CB.</p> <p>g) The applicant CB addresses any deficiencies and examples of noncompliance and submits a written report on the remedial and corrective actions taken.</p> <p>h) The APO-AB decides whether to proceed with the assessment based on the report findings of nonconformities and deficiencies.</p>				

Reference Clause (APO-AB 1003/ 4001)	Requirements	Reference by CB to its Document with Clause Number	Compliance		Comments
			Yes	No	
	<p>i) If the deficiencies are major and not properly addressed within 30 days or, depending on the agreement of the APO-AB, during an extension period, the APO-AB may decide not to proceed with the stage 2 assessment and communicate the decision to the applicant CB in writing.</p> <p>Note: Normally for stage 1, no preassessment is conducted for ISO/IEC 17024, although it may be conducted if felt necessary by the lead assessor in consultation with the CB.</p>				
2) (1003) 4.1.2.2 (4001)	<p>Stage 2 – Compliance Assessment Assessment to establish whether a CB is capable and competent in developing and operating the CoP scheme for which it seeks accreditation. The assessment shall include a witnessed evaluation (in personnel certification, CBs do not conduct audits) based on a sampling of activities in accordance with APO-AB 4014 Procedures for Witnessing Audit.</p> <p>If the APO-AB assessment team is satisfied with the adequacy assessment, the team shall prepare to conduct the compliance audit.</p> <p>a) The assessment team shall develop an assessment plan to cover the scope of accreditation, persons to be assessed, and the locations where the activities are to be assessed.</p> <p>b) In selecting the activities to be assessed, the assessment team considers the relevancy and risks associated with the activities.</p>				

Reference Clause (APO-AB 1003/ 4001)	Requirements	Reference by CB to its Document with Clause Number	Compliance		Comments
			Yes	No	
	<p>c) The APO-AB informs and confirms with the applicant CB and members of the assessment team the date(s) and assessment plan 30 working days in advance.</p> <p>d) During the compliance assessment, the assessment team shall conduct assessments following the APO-AB Procedures for Assessment. At the beginning of the first day of the compliance assessment, the lead assessor conducts an opening meeting with the applicant CB management personnel involved in certification activities. Guidelines for conducting the opening meeting are given in the APO-AB Work Instructions for Conducting the Opening Meeting. The meeting states the purpose of the accreditation and accreditation requirements clearly, as well as confirms the assessment plan and scope of assessment. It also seeks to ensure that all agreed arrangements for the assessment are in place.</p> <p>e) The assessment team conducts the assessment based on the agreed-upon assessment plan.</p> <p>f) The assessment team employs the following assessment techniques:</p> <ul style="list-style-type: none"> i. Interviewing personnel involved in the applicant CB's CoP activities ii. Reviewing records iii. Verifying the applicant CB's procedures and practices for outsourcing 				

Reference Clause (APO-AB 1003/ 4001)	Requirements	Reference by CB to its Document with Clause Number	Compliance		Comments
			Yes	No	
	<p>g) Each assessor records each observation gathered during the assessment and obtains the initials of the applicant CB's representative on each observation noted.</p> <p>h) The assessment team analyzes and discusses all relevant information and objective evidence gathered prior to and during the assessment to establish full confidence in the competence of the applicant CB and its conformity with the requirements for accreditation. Possible areas for improvement may also be reported to the CB as observations but no consultancy or solutions for improvement are provided.</p> <p>i) The lead assessor and assessment team then reach a consensus on the assessment results regarding the competence and conformity of the applicant CB with the ISO/IEC 17024 standard and APO-AB policies and procedures.</p> <p>j) At the end of the compliance assessment visit, the APO-AB assessment team holds a closing meeting to communicate its findings and the conclusions of the assessment to the CB following the APO-AB Work Instructions for Conducting a Closing Meeting.</p> <p>k) The summary report shall be signed by the authorized signatory from the CB as well as the authorized signatory from the APO-AB.</p> <p>l) For any nonconformities identified, the CB must respond by listing the corrective actions to be taken and the schedule for the nonconformities to be addressed and resolved. The CB submits</p>				

Reference Clause (APO-AB 1003/ 4001)	Requirements	Reference by CB to its Document with Clause Number	Compliance		Comments
			Yes	No	
	<p>the corrective actions for nonconformities within 30 days. If corrective action cannot be completed in 30 days, the applicant CB shall submit an action plan to request extension. If the action plan is approved, a maximum of 60 days is given to complete the corrective action. The APO-AB may decide whether to continue the accreditation process if no submission is received from the CB during the agreed period.</p> <p>m) The assessment team sends the report to the ARP within 10 working days.</p> <p>n) Prior to submitting the assessment report to the ARP, the APO-AB assessment team shall ensure that the CB has resolved all issues and nonconformities according to the ISO/IEC 17024 standard and APO-AB policies and procedures.</p>				
3) (1003) 4.1.2.3 (4001)	The above two phases of assessment may follow the traditional methodology of CBs involving physical office and onsite assessments of CBs and/or using online or remote e-assessments to complement the traditional physical assessment. However, remote assessment is performed only upon mutual agreement between the APO-AB and the CB to be assessed. The principles and approach used will follow the IAF Informative Document IAF ID 12 on Principles on Remote Assessment.				
4) (1003)	In the case of an extraordinary event or circumstance that affects the operations and activities of a CB, the APO-AB accreditation approach or methodology may follow the guidelines outlined in IAF ID 3 Document for Management of Extraordinary Events or Circumstances Affecting ABs, CABs and Certified Organization, except for Clause 5.1,				

Reference Clause (APO-AB 1003/ 4001)	Requirements	Reference by CB to its Document with Clause Number	Compliance		Comments
			Yes	No	
	Breakdown of an AB (until the APO-AB becomes an MLA signatory of the IAF).				
4.3.5 (1003) 4.1.3 (4001)	Accreditation Decision Making The APO-AB shall only consider the granting of accreditation upon satisfactory resolution of all nonconformities found during assessments.				
4.3.6 (1003) 4.1.4 (4001)	Accreditation Certificate The APO-AB shall grant an APO-CoP certificate of accreditation after it is satisfied that a CB complies with these conditions and all APO-CoP criteria.				
4.3.7 (1003) 4.1.5 (4001)	Accreditation Cycle The certificate of accreditation shall be valid for four years from the date of approval by the Chair of the APO-AB. Thereafter the certificate is renewable at four-year intervals subject to meeting the requirements.				
4.3.8 (1003)	The certificate of accreditation is not transferable.				
4.3.9 (1003)	Subject to the limitations stated in these conditions, changes in the certificate of accreditation such as a change in the name of a CB or its organizational structure, change in its legal status, change of address or premises, change in approved signatories, or other editorial changes may be considered by the APO-AB if in its opinion those changes do not constitute significant changes to the CB quality system and do not affect its technical competence. The APO-AB reserves the right to conduct an assessment or other forms of evaluation to confirm continued compliance with the APO-CoP accreditation criteria, if required.				
4.3.10 (1003)	Accredited CB shall be listed in a directory maintained by the APO-AB.				

Reference Clause (APO-AB 1003/ 4001)	Requirements	Reference by CB to its Document with Clause Number	Compliance		Comments									
			Yes	No										
4.4 (1003) 4.2 (4001)	Monitoring, Surveillance, and Reassessment of CBs Surveillance and Reaccreditation													
4.4.1 (1003) 4.2.1 (4001)	The APO-AB shall indicate how the monitoring of compliance with these conditions and the relevant APO-CoP accreditation criteria are to be carried out.													
4.4.2 (1003) 4.2.2 (4001)	<p>The APO-AB shall schedule assessments of accredited CBs and their certification schemes as shown in Tables 1 and 2.</p> <p style="text-align: center;">Table 1. First cycle of accreditation.</p> <table border="1" style="width: 100%;"> <tr> <td>Surveillance 1</td> <td>Approximately 12 months from the granting/renewal date</td> </tr> <tr> <td>Surveillance 2</td> <td>Approximately 15 months from the surveillance date</td> </tr> <tr> <td>Reassessment</td> <td>Approximately 3 months before the expiration date</td> </tr> </table> <p style="text-align: center;">Table 2. Subsequent cycle of accreditation.</p> <table border="1" style="width: 100%;"> <tr> <td>Surveillance</td> <td>Approximately 18 months from the previous expiration date</td> </tr> <tr> <td>Reassessment</td> <td>Approximately 6 months before the expiration date</td> </tr> </table> <p>Notes: 1) Remote assessment methodology as mentioned in 4.3.4.3) in APO-AB 1003 may be used by mutual agreement between the APO-AB and the CB concerned. 2) The interval between assessments shall not be more than two years.</p>	Surveillance 1	Approximately 12 months from the granting/renewal date	Surveillance 2	Approximately 15 months from the surveillance date	Reassessment	Approximately 3 months before the expiration date	Surveillance	Approximately 18 months from the previous expiration date	Reassessment	Approximately 6 months before the expiration date			
Surveillance 1	Approximately 12 months from the granting/renewal date													
Surveillance 2	Approximately 15 months from the surveillance date													
Reassessment	Approximately 3 months before the expiration date													
Surveillance	Approximately 18 months from the previous expiration date													
Reassessment	Approximately 6 months before the expiration date													

Reference Clause (APO-AB 1003/ 4001)	Requirements	Reference by CB to its Document with Clause Number	Compliance		Comments
			Yes	No	
4.4.3 (1003)	In addition to or as part of its program of surveillance, the APO-AB reserves the right to assign an expert/s to carry out unscheduled assessments of accredited CBs if there are reasons to suspect that they or their certification schemes have failed in their obligations to meet the APO-CoP accreditation criteria or conditions.				
4.5 (1003)	Significant Changes in CB Activities (Refer to APO-AB 4010)				
5.1 (4001)	Extending the Scope of Accreditation The APO-AB has developed the procedure given in APO-AB 4010 to manage applications for extension of the accreditation scope and to determine whether extensions may be granted based on the risk associated with the activities in the scope of extension.				
5.2 (4001)	Depending on circumstances or arrangements between the APO-AB and CB involved, assessment for extension of the accreditation scope may be conducted during a surveillance or reassessment visit.				
4.6 (1003)	Suspension of Accreditation and Appeal				
6. (4001) 6.1	Suspending Accreditation The APO-AB has developed the procedure given in APO-AB 4011 Procedure for Suspending and Reducing Scope of Accreditation for the suspension of the scope of accreditation.				
4.6.1 (1003) 6.2 (4001)	The APO-AB may at its discretion suspend accreditation if the following occur: a) Violation of the terms and conditions of accreditation; b) Failure to provide reasonable cooperation with or facilities for APO-AB assessors and/or authorized agents to discharge their official duties; and				

Reference Clause (APO-AB 1003/ 4001)	Requirements	Reference by CB to its Document with Clause Number	Compliance		Comments
			Yes	No	
	c) In the reasonable view of the APO-AB, an accredited CB makes unreasonable or irresponsible use of a subcontract.				
4.6.2 (1003)	The APO-AB reserves the right to determine the period of suspension of accreditation depending on the severity of the nonconformities in relation to the APO-AB accreditation criteria and conditions.				
4.6.3 (1003)	Before the APO-AB suspends a certificate of accreditation, it shall issue a notice to the accredited CB. The CB is required to show cause for why the certificate of accreditation should not be suspended within 14 working days of receipt of the notice.				
4.6.4 (1003)	If a written response is received, the APO-AB shall consider the explanations given and offer the accredited CB an opportunity to be heard by the Accreditation Review Panel (ARP) as soon as possible, following the appeal procedure in APO-AB 4008 Flow Chart for Assessment. (Refer to APO-AB 4008)				
4.6.5 (1003)	If no response to the notice of suspension is received by the APO-AB, the accreditation shall be suspended after the 14-day period and the CB shall be informed of the suspension in writing.				
4.6.6 (1003) 7 (4001)	Reducing the Scope of Accreditation A CB that has been suspended cannot issue APO-CoP-endorsed certificates for the suspended certification scheme/scope.				
8 (4001)	Complaints The APO-AB has developed the procedure APO-AB 4009 to handle complaints related to its performance and service level. All complaints are to be investigated and appropriate actions taken in a timely manner. Resolutions are reported in writing to the complainants.				
9 (4001)	Appeals				
9.1 (4001)	All appeals made by CBs to the APO-AB related to decisions on accreditation are to be registered and forwarded to the Chair of the				

Reference Clause (APO-AB 1003/ 4001)	Requirements	Reference by CB to its Document with Clause Number	Compliance		Comments
			Yes	No	
	APO-AB Council in accordance with the procedure for appeals detailed in APO-AB 4008 for resolution.				
9.2 (4001)	An independent, impartial appeal panel shall be established to hear each appeal.				
9.3 (4001)	The APO-AB shall acknowledge receipt of appeals and provide CBs with written reports on progress, outcomes, and the end of the appeal process.				
9.4 (4001)	CBs involved shall be given an opportunity to present their cases formally.				
9.5 (4001)	Investigations of and decision on appeals shall not result in any discriminatory actions against CBs.				
4.7 (1003)	Confidentiality				
4.7.1	All information gained by the APO-AB, its assessors, and authorized agents in processing, granting, maintaining, renewing, extending, reducing, and suspending accreditation shall be treated as confidential between the APO-AB and the accredited CB. Such information shall be handled on a strict need-to-know basis and shall not be divulged without the written permission of the CB unless required by law.				
5. (1003)	Obligations of CBs				
5.1	General				
5.1.1	Participation in the APO-CoP does not in any way exempt CBs from or diminish their responsibilities in observing/complying with existing laws and regulations currently enforced in their countries.				
5.1.2	CBs shall at all times:				
a)	Maintain practices and certification schemes to a standard complying with APO-CoP regulations, accreditation criteria of the APO-AB and ISO/IEC 17024, and other conditions and requirements prescribed by the APO-AB;				

Reference Clause (APO-AB 1003/ 4001)	Requirements	Reference by CB to its Document with Clause Number	Compliance		Comments
			Yes	No	
b)	Offer all clients a standard of quality service consistent with APO-CoP regulations, accreditation criteria, and requirements and maintain credibility and commercial integrity in all operations;				
c)	To inform APO-AB for any significant change which may have a bearing on its accreditation;				
d)	Not use the APO-AB accreditation or the certificate of accreditation in any manner that would bring the APO-CoP scheme into disrepute and not make any statement pertaining to its accreditation which the APO-AB may reasonably consider to be misleading;				
e)	Endeavour to ensure that no APO-CoP endorsed certificate or any part thereof shall be used by a client, or be authorized for use by a client, for promotional or publicity purposes if the APO-AB considers such use to be misleading;				
f)	Retain a record of all reports for at least one accreditation cycle plus the current cycle or as required by law or organizational or contractual arrangements.				
5.2 (1003)	Impartiality, Independence, and Integrity				
5.2.1	CBs and their personnel shall be free from any commercial, financial, and other pressures or inducements that might influence their technical judgment and evaluations.				
5.2.2	CBs shall not allow external persons or organizations to influence the results of CoP.				
5.2.3	CBs shall not engage in any activity that may endanger trust in its independence of judgment and integrity in relation to its activities.				
5.3 (1003)	APO-CoP-endorsed Certificates				
5.3.1	All APO-CoP-endorsed accreditation certificates shall be signed by the Chair of the APO-AB Council for the scheme/scope of APO-CoP accreditation.				

Reference Clause (APO-AB 1003/ 4001)	Requirements	Reference by CB to its Document with Clause Number	Compliance		Comments
			Yes	No	
5.3.2	All APO-CoP-endorsed accreditation certificates shall carry the APO-AB symbol/logo of accreditation of CBs for the CoP scheme and contain the accreditation certificate identification number.				
5.4 (1003)	Cooperation with the APO-AB CBs shall offer the APO-AB, its assessors, and technical experts all cooperation necessary to enable the monitoring of compliance with the regulations and requirements of ISO/IEC 17024 and any other relevant accreditation criteria. This cooperation shall include:				
a)	Affording the APO-AB, its assessors, and technical experts' reasonable access to relevant areas of a CB to observe the CoP scheme;				
b)	Preparing, packaging, and dispatching, at the expense of the CB involved, the documents, reports, or other items needed by the APO-AB;				
c)	Permitting assessment by the APO-AB, its assessors, and technical experts of the results of the CB's own internal audits and management reviews;				
d)	Assisting the APO-AB, its assessors, and technical experts in the investigation and resolution of any properly authenticated complaints made by third parties or outside parties concerning the CB's accredited CoP scheme.				
5.5 (1003)	Liabilities				
5.5.1	An accredited CB shall have full control of the issue of accredited certification following the regulations and criteria set out by APO-AB. The CB shall therefore take full responsibility and liability for the issuing of all certification.				
5.5.2	The CB shall indemnify the APO-AB from all liabilities that may result from claims arising from CB certification.				

Reference Clause (APO-AB 1003/ 4001)	Requirements	Reference by CB to its Document with Clause Number	Compliance		Comments
			Yes	No	
5.6 (1003)	Notification of Change				
5.6.1	An accredited CB shall inform the APO-AB immediately of any changes affecting its compliance with these requirements and the CB's capability, competence, integrity, independence, or certification scheme/scope of activity. Such significant changes in an accredited CB include:				
	a) Changes in personnel or certification scheme/scope of activity of an accredited CB;				
	b) Any change in the CB's organization and management, e.g., head of the CB or quality manager;				
	c) Any change, transfer, redesignation of duties, or resignation of key CB personnel, approved signatories, authorized representatives, and other senior CB staff;				
	d) Changes in duties of approved signatories;				
	e) Changes in address, premises, facilities, or other resources;				
	f) Any change in the CB's legal, commercial, or organizational status; and				
	g) Changes in the CB's policy and procedures.				
5.6.2	Any notice or other communication required to be given or sent under these regulations by the APO-AB and its authorized agents shall be deemed to be given or sent if sent by registered post, email, or telefax to the postal address, email address, or telefax number of the accredited CB last known to the APO-AB and deemed to be given at the time when it would have been delivered by any of these means under normal circumstances				