

## Recommendations on Criteria for Conformity Assessment and Certification under EN 15038

*(The numbering of the sections below follows the numbering in the Standard)*

- Note:** *In the light of practical experience to date, applicants and auditors are reminded that*
- *the audit has to cover all requirements set out in the standard, and*
  - *final responsibility for meeting these requirements rests with the TSP that originally contracted for a translation project, and not with any subcontractors it may engage to work on that project.*

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| <b>3. Basic requirements</b>                         |  |
| <b>3.1 General</b>                                   | <i>Required documentation</i><br>Documented procedure for engaging a third party to carry out a translation project or any part thereof  |
|  | <i>The audit shall comprise</i><br>- Verification of the required documentation<br>- Verification that the procedure is followed throughout a translation project or any part thereof  |
|  | <i>Fulfilment criteria</i><br>The documentation is available and the procedures are followed by the applicant.   |
| <b>3.2 Human resources</b>                           |  |
| <b>3.2.1 Human resources management</b>              | <i>Required documentation</i><br>Documented procedure for selecting the people involved in translation projects. The documented procedure shall comprise at least:<br>- for all applicants:<br>o procedures for selecting translator(s), reviser(s) and reviewer(s)<br>- for applicants who employ in-house translators/revisers/reviewers:<br>o procedures for recruiting in-house translators, revisers or reviewers |
|  | <i>The audit shall comprise</i><br>- Verification of the required documentation<br>- Verification that the procedures are followed   |
|  | <i>Fulfilment criteria</i><br>The documentation is available and the procedures are followed by the applicant  |
| <b>3.2.2 Professional competences of translators</b> | <i>Required documentation</i><br>Documentary evidence of the qualifications, professional experience and competences of all translators, e.g. recognised academic degrees, training certificates, accreditation by professional organisations, CPD records, past translations, letters of reference from clients or employers and tests passed   |
|  | <i>The audit shall comprise</i><br>Verification of representative samples of the required documentation  |
|  | <i>Fulfilment criteria</i><br>The documentation is available and sufficient to prove that the translators have the requisite professional competences  |
| <b>3.2.3 Professional competences of revisers</b>    | <i>Required documentation</i><br>Documentary evidence of the qualifications, professional experience and competences of all revisers (e.g. evidence of translating experience in specific domains)   |
|  | <i>The audit shall comprise</i><br>Verification of representative samples of the required documentation  |
|  | <i>Fulfilment criteria</i><br>The documentation is available and sufficient to prove that the revisers have the requisite professional competences   |

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| <b>3.2.4 Professional competences of reviewers</b>     | <i>Required documentation</i><br>Documentary evidence of the reviewers' qualifications and domain specialisation in the target language(s)   |
|  | <i>The audit shall comprise</i><br>Verification of representative samples of the required documentation  |
|  | <i>Fulfilment criteria</i><br>The documentation is available and sufficient to prove that the reviewers have the requisite specialisation and are sufficiently qualified to undertake such a review  |
| <b>3.2.5 Continuing professional development (CPD)</b> | <i>Required documentation</i><br>Documentary evidence of continuing professional development undertaken by in-house and external translators to maintain and update their competences, e.g. training courses or sessions   |
|  | <i>The audit shall comprise</i><br>Verification of the required documentation  |
|  | <i>Fulfilment criteria</i><br>The documentation is available and sufficient to prove that the in-house and external translators regularly undertake continuing professional development  |
| <b>3.3 Technical resources</b>                         | <i>Required documentation</i><br>Documentary evidence of the availability of requisite equipment for safe and confidential handling, storage, retrieval, archiving and disposal of documents and data, of the availability of the requisite communication equipment, hardware and software and of access to relevant information sources and media |
|  | <i>The audit shall comprise</i><br>- Verification of the required documentation<br>- Random checks of the availability of the requisite technical resources  |
|  | <i>Fulfilment criteria</i><br>The documentation is available and sufficient to prove that the requisite technical resources are available  |
| <b>3.4 Quality management system</b>                   | <i>Required documentation</i><br>Description of the quality management system in place, commensurate with the TSP's size and organisational structure  |
|  | <i>The audit shall comprise</i><br>- Verification that the system's objectives are stated<br>- Verification that it includes a process for monitoring quality and taking corrective measures   |
|  | <i>Fulfilment criteria</i><br>The documentation is available and commensurate with the TSP's size and organisational structure   |
| <b>3.5 Project management</b>                          | <i>Required documentation</i><br>Documented procedure for assigning a project manager to supervise each translation project that requires a team of translators  |
|  | <i>The audit shall comprise</i><br>Verification of the required documentation and implementation   |
|  | <i>Fulfilment criteria</i><br>The documentation is available and the procedures are followed by the applicant  |

| <b>4 Client-TSP (Translation Service Provider) relationship</b> |  |
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| <b>4.1 General</b>  | <i>Required documentation</i><br>Documented procedures for all of the phases in the client-TSP relationship (see 4.2 through 4.6)  |
|   | <i>The audit shall comprise</i><br>Verification of the required documentation  |
|   | <i>Fulfilment criteria</i><br>The documentation is available and the procedures are followed by the applicant  |
| <b>4.2 Enquiry and feasibility</b>                              | <i>Required documentation</i><br>Documented procedures for analysing clients' enquiries and for determining that all the required human and technical resources are available  |
|   | <i>The audit shall comprise</i><br>Verification of the required documentation and implementation   |
|   | <i>Fulfilment criteria</i><br>The documentation is available and the procedures are followed by the applicant  |
| <b>4.3 Quotation</b>  | <i>Required documentation</i><br>Documented procedure for providing clients with quotations that indicate at least price and delivery details  |
|   | <i>The audit shall comprise</i><br>Verification of the required documentation  |
|   | <i>Fulfilment criteria</i><br>The documentation is available and the procedures are followed by the applicant  |
| <b>4.4 Client-TSP agreement</b>                                 | <i>Required documentation</i><br><ul style="list-style-type: none"> <li>- Representative samples of agreements with clients</li> <li>- Documented procedure for recording the commercial terms and service specifications under that agreement</li> <li>- Documented procedure for handling all subsequent deviations from the original agreement</li> </ul> |
|   | <i>The audit shall comprise</i><br>Verification of the required documentation  |
|   | <i>Fulfilment criteria</i><br>The documentation is available and the procedures are followed by the applicant  |
| <b>4.5 Handling of project-related client information</b>       | <i>Required documentation</i><br>Documented procedure for obtaining supplementary information and clarifications from the client   |
|   | <i>The audit shall comprise</i><br>Verification of the required documentation  |
|   | <i>Fulfilment criteria</i><br>The documentation is available and the procedures, including those provided for in the quality management system concerning handling of client information and material (see 3.4), are followed by the applicant and respect any conditions stipulated by the client   |
| <b>4.6 Project conclusion</b>                                   | <i>Required documentation</i><br>Documented procedures for final verification, archiving, traceability and follow up and for the assessment of client satisfaction, and evidence that confidential client documentation is returned to the client  |
|   | <i>The audit shall comprise</i><br>Verification of the required documentation  |
|   | <i>Fulfilment criteria</i><br>The documentation is available and the procedures are followed by the applicant  |

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| <b>5 Procedures in translation services</b> |   |
| <b>5.1 General</b>                          | <i>Required documentation</i><br>Documented procedure for ensuring continuous compliance of each project with the client-TSP agreement  |
|   | <i>The audit shall comprise</i><br>Verification of the required documentation (see 5.2 through 5.4)   |
|   | <i>Fulfilment criteria</i><br>The documentation is available and the procedures are followed by the applicant   |
| <b>5.2 Managing translation projects</b>    | <i>Required documentation</i><br>Documented procedures for: <ul style="list-style-type: none"> <li>- assigning human resources for each project</li> <li>- supervising the preparation process</li> <li>- issuing instructions to all parties involved</li> <li>- enabling and monitoring translation and terminological consistency</li> <li>- monitoring the process timetable</li> <li>- ensuring the contact between all persons involved in the project</li> <li>- checking the correctness and completeness of the services provided and ensuring compliance with the client-TSP agreement</li> <li>- clearing projects for delivery</li> </ul> |
|   | <i>The audit shall comprise</i><br>Verification of the required documentation   |
|   | <i>Fulfilment criteria</i><br>The documentation is available and the procedures are followed by the applicant   |
| <b>5.3 Preparation</b>                      | <i>Required documentation</i><br>Documented procedures for: <ul style="list-style-type: none"> <li>- checking that the source text complies with the client-TSP agreement</li> <li>- contacting the client for clarification or supplementary information in the event of non-compliance</li> </ul>   |
|   | <i>The audit shall comprise</i><br>Verification of the required documentation   |
|   | <i>Fulfilment criteria</i><br>The documentation is available and appropriate to the specific requirements of each translation project, and the procedures are followed by the applicant   |
| <b>5.3.1 Administrative aspects</b>         |   |
| <b>5.3.1.1 Project registration</b>         | <i>Required documentation</i> <ul style="list-style-type: none"> <li>- Record of each accepted translation project for identification and traceability</li> <li>- Log of each project throughout its duration</li> </ul>  |
|   | <i>The audit shall comprise</i><br>Verification of the required documentation   |
|   | <i>Fulfilment criteria</i><br>The documentation is available and the projects can be identified throughout the entire process   |
| <b>5.3.1.2 Project assignment</b>           | <i>Required documentation</i> <ul style="list-style-type: none"> <li>- Documented procedure for assigning projects to the appropriate human resources</li> <li>- Documented procedure for ensuring that the specifications described in the client-TSP agreement are met</li> </ul>   |
|   | <i>The audit shall comprise</i><br>Verification of the required documentation   |
|   | <i>Fulfilment criteria</i><br>The documentation is available and the procedures are followed by the applicant   |

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| <b>5.3.2 Technical aspects</b>            |   |
| <b>5.3.2.1 Technical resources</b>        | <i>Required documentation</i><br>Documented procedure for ensuring that the resources listed in 3.3 are effectively available   |
|   | <i>The audit shall comprise</i><br>Verification of the required documentation   |
|   | <i>Fulfilment criteria</i><br>The resources are accessible and the procedure is followed by the applicant   |
| <b>5.3.2.2 Pre-translation processing</b> | <i>Required documentation</i><br>Documented procedure for carrying out any necessary technical and pre-translation processing to prepare the document for translation   |
|   | <i>The audit shall comprise</i><br>Verification of the required documentation   |
|   | <i>Fulfilment criteria</i><br>The documentation is available and the procedure is followed by the applicant   |
| <b>5.3.3 Linguistic aspects</b>           |   |
| <b>5.3.3.1 Source text analysis</b>       | <i>Required documentation</i><br>Documented procedure for recording information concerning any specific linguistic requirements (e.g. client style guide, adaptation to a specified target group, purpose and/or intended final use, terminology, glossary updates) |
|   | <i>The audit shall comprise</i><br>Verification of the required documentation   |
|   | <i>Fulfilment criteria</i><br>The documentation is available and the procedure is followed by the applicant   |
| <b>5.3.3.2 Terminology work</b>           | <i>Required documentation</i><br>Documented procedure for carrying out any terminology work provided for in the client-TSP agreement  |
|   | <i>The audit shall comprise</i><br>Verification of the required documentation   |
|   | <i>Fulfilment criteria</i><br>The documentation is available and the procedure is followed by the applicant   |
| <b>5.3.3.3 Style guide</b>                | <i>Required documentation</i><br>Documented procedure for using a proprietary or other appropriate style guide  |
|   | <i>The audit shall comprise</i><br>Verification of the required documentation   |
|   | <i>Fulfilment criteria</i><br>The documentation is available and the procedure is followed by the applicant   |
| <b>5.4 Translation process</b>            |   |
| <b>5.4.1 Translation</b>                  | <i>Required documentation</i><br>Documented procedure for ensuring that the text meets the specifications detailed in the project assignment  |
|   | <i>The audit shall comprise</i><br>Verification of the required documentation   |
|   | <i>Fulfilment criteria</i><br>The documentation is available and the procedure is followed by the applicant   |

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| <b>5.4.2 Checking</b>           | <i>Required documentation</i><br>- Documented procedure for ensuring that translators check their translations, paying special attention to 5.4.1, items a to g, to verify that the translations convey the meaning without omissions or errors and that they meet the defined service specifications<br>- Documented procedure for ensuring that translators make any necessary amendments   |
|                                 | <i>The audit shall comprise</i><br>Verification of the required documentation   |
|                                 | <i>Fulfilment criteria</i><br>The documentation is available and the procedures are followed by the applicant   |
| <b>5.4.3 Revision</b>           | <i>Required documentation</i><br>- Documented procedure for ensuring that each translation is revised by a person other than the initial translator and who has the appropriate competence in the source and target languages and translating experience in the domain under consideration<br>- Documented procedure for ensuring each translation's suitability for the agreed purpose by means of an examination which, depending on project requirements, includes comparing the source and target texts for terminology consistency, register and style<br>- Documented procedure for ensuring that any necessary corrective measures are implemented |
|                                 | <i>The audit shall comprise</i><br>Verification of the required documentation   |
|                                 | <i>Fulfilment criteria</i><br>The documentation is available and the procedures are followed by the applicant   |
| <b>5.4.4 Review</b>             | <i>Required documentation</i><br>Documented procedure for ensuring that whenever the service specifications for a translation include a review:<br>- a reviewer carries out a monolingual review in the target language to assess the translation's suitability for the agreed purpose and target group and to recommend corrective measures where necessary<br>- the TSP takes steps to ensure that any necessary corrective measures are implemented  |
|                                 | <i>The audit shall comprise</i><br>Verification of the required documentation   |
|                                 | <i>Fulfilment criteria</i><br>The documentation is available and the procedures are followed by the applicant   |
| <b>5.4.5 Proofreading</b>       | <i>Required documentation</i><br>Documented procedure for ensuring that whenever the service specifications include proofreading, the text is proofread as a final check before, for example, printing or publication   |
|                                 | <i>The audit shall comprise</i><br>Verification of the required documentation   |
|                                 | <i>Fulfilment criteria</i><br>The documentation is available and the procedure is followed by the applicant   |
| <b>5.4.6 Final verification</b> | <i>Required documentation</i><br>Documented procedure for verifying that the service provided meets the service specifications  |
|                                 | <i>The audit shall comprise</i><br>Verification of the required documentation   |
|                                 | <i>Fulfilment criteria</i><br>The documentation is available and the procedure is followed by the applicant   |