

SADCAS Ref. No:							
-----------------	--	--	--	--	--	--	--

**ISO/IEC 17020: 2012  
CHECKLIST FOR ACCREDITATION  
OF VARIOUS TYPES OF BODIES PERFORMING INSPECTION**

Date(s) of Evaluation:							
Assessor(s) & Observer(s):							
Organization:							
Area/Field of Operation:							
Organization's Representative:							
<b>The report covers the following:</b>							
Document Review only		Implementation on Site Visit only		Document Review and Site Visit		Other	
<b>REQUIREMENTS</b>				<b>COMMENTS</b>			
<b>4. General Requirements</b>							
<b>4.1 Impartiality and independence</b>							
<b>4.1.1</b> Are inspection activities undertaken impartially?							
<b>4.1.2</b> Is the Inspection Body that is part of a legal entity involved in activities other than inspection identifiable within that entity?							
<b>4.1.3</b> Does the Inspection Body identify risks to its impartiality on an on-going basis? Does it include those risks that arise from its activities, its relationships or from the relationships of its personnel? However such relationships do not necessarily present an Inspection Body with a risk to impartiality.							

REQUIREMENTS	COMMENTS
<p><b>Note:</b> A relationship that compromises the impartiality of the Inspection Body can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing (including branding) and payment of a sales commission or other inducement for the referral of new customers, etc.</p>	
<p><b>4.1.4</b> If a risk to impartiality is identified, is the Inspection Body able to demonstrate how it eliminates or minimizes such risk?</p>	
<p><b>4.1.5</b> Has the top management of the Inspection Body commitment to impartiality?</p>	
<p><b>4.1.6</b> Is the Inspection Body independent to the extent that is required with regard to the conditions under which it performs its services?</p> <p>Depending on these conditions does it meet the minimum criteria stipulated in the Annex A (normative)?</p>	
<p><b>4.2 Confidentiality</b></p>	
<p><b>4.2.1</b> Are the Inspection Body responsible, through legally enforceable commitments, for the management of all information obtained or created during the performance of inspection activities?</p> <p>Does the Inspection Body inform the customer, in advance, of the information it intends to place in the public domain?</p> <p>Except for information that the customer makes publicly available, or when agreed between the Inspection Body and the customer (e.g. for the purpose of responding to complaints) are all other information considered proprietary information and regarded as confidential?</p> <p><b>Note:</b> Legally enforceable commitments can be, for example, contractual agreements.</p>	

REQUIREMENTS	COMMENTS
<p><b>4.2.2</b> When the Inspection Body is required by law or authorized by contractual commitments to release confidential information, is the customer or individual concerned, unless prohibited by law, notified of the information provided?</p>	
<p><b>4.2.3</b> Is the information about the customer obtained from sources other than customer (e.g. complainant, regulators) treated as confidential?</p>	
<p><b>5. Structural requirements</b></p> <p><b>5.1 Administrative requirements</b></p>	
<p><b>5.1.1</b> Is the Inspection Body a legal entity or a defined part of a legal entity such that it can be held legally responsible for all its inspection activities?</p> <p><b>Note:</b> A governmental inspection body is deemed to be a legal entity on the basis of its governmental status</p>	
<p><b>5.1.2</b> Is the Inspection Body that is part of a legal entity involved in activities other than inspection identifiable within that entity?</p>	
<p><b>5.1.3</b> Does the Inspection Body have documentation which describes the activities for which it is competent?</p>	
<p><b>5.1.4</b> Does the Inspection Body have adequate provision (e.g. insurance or reserves) to cover liabilities arising from its operations?</p> <p><b>Note:</b> The liability can be assumed by the State in accordance with the national laws or by the organization of which the inspection body forms a part.</p>	

REQUIREMENTS	COMMENTS
<p><b>5.1.5</b> Does the Inspection Body have documentation describing the contractual conditions under which it provides the inspection except when it provides inspection services to the legal entity of which it is a part?</p>	
<p><b>5.2 Organization and management</b></p>	
<p><b>5.2.1</b> Is the Inspection Body structured and managed so as to safeguard impartiality?</p>	
<p><b>5.2.2</b> Is the Inspection Body organized and managed so as to enable it to maintain the capability to perform its inspection activities?</p> <p><b>Note:</b> Inspection schemes can require that the inspection body participates in the exchange of technical experience with other inspection bodies to maintain this capability.</p>	
<p><b>5.2.3</b> Did the Inspection Body define and document the responsibilities and reporting structure of the organization?</p>	
<p><b>5.2.4</b> Where the legal entity, of which the Inspection Body is a part, also performs other conformity assessment activities, is the relationship between these activities defined?</p>	
<p><b>5.2.5</b> Do the Inspection Body have available one or more person(s) as technical manager(s), however named, that have overall responsibility to ensure that the inspection activities are carried out in accordance with this international standard?</p>	

REQUIREMENTS	COMMENTS
<p><b>5.2.5 (cont.)</b></p> <p>Are the person(s) fulfilling this function technically competent and experienced in the operation of the Inspection Body?</p> <p>Where the Inspection Body has more than technical manager, are the specific responsibilities of each manager defined and documented?</p>	
<p><b>5.2.6</b> Does the Inspection Body have one or more named person(s) who will deputize in the absence of any technical manager responsible for on-going inspection activities?</p>	
<p><b>5.2.7</b> Does the Inspection Body have a job description or other documentation for each position category within its organization involved in inspection activities?</p>	
<p><b>6 Resource requirements</b></p> <p><b>6.1 Personnel</b></p>	
<p><b>6.1.1</b> Did the Inspection Body define and document the competence requirements for all personnel involved in inspection activities including requirements for education, training, technical knowledge, skills and experience?</p> <p><b>Note:</b> The competence requirements can be part of the job description or other documentation mentioned in 5.2.7</p>	
<p><b>6.1.2</b> Does the Inspection Body employ or have contracts with a sufficient number of persons with the required competencies including, where needed, the ability to make professional judgments to perform the type, range and volume of its inspection activities?</p>	
<p><b>6.1.3</b> Do the personnel responsible for inspection have appropriate qualifications, training, experience and a satisfactory knowledge of the requirements of the inspections to be carried out?</p>	

REQUIREMENTS	COMMENTS
<p><b>6.1.3 (cont.)</b> Do they also have relevant knowledge of:</p> <ul style="list-style-type: none"> <li>- The technology used for the manufacturing of the products inspected, operation of processes and delivery of services;</li> <li>- The way in which products are used, processes are operated and services delivered; and</li> <li>- Any defects which may occur during the use of the product, any failures in the operation of the process and any deficiencies in the delivery of services?</li> </ul> <p>Do they understand the significance of deviations found with regard to the normal use of the products, operation of the processes and the delivery of services?</p>	
<p><b>6.1.4</b> Does the Inspection Body make clear to each person their duties, responsibilities and authorities?</p>	
<p><b>6.1.5</b> Does the Inspection Body have documented procedures for:</p> <ul style="list-style-type: none"> <li>• Selecting;</li> <li>• Training;</li> <li>• Formally authorizing; and</li> <li>• Monitoring inspectors; and</li> <li>• Other personnel involved in inspection activities?</li> </ul>	
<p><b>6.1.6</b> Does the documented procedures for training (6.1.4) address the following stages:</p> <ol style="list-style-type: none"> <li>a. An induction period;</li> <li>b. A mentored working period with experienced inspectors; and</li> <li>c. Continuing training to keep pace with developing technology and inspection methods.</li> </ol>	

REQUIREMENTS	COMMENTS
<p><b>6.1.7</b> Does the training required depend upon the ability, qualifications and experience of each inspector and other personnel involved in inspection activities and upon the results of monitoring (6.1.8)?</p>	
<p><b>6.1.8</b> Do personnel familiar with the inspection methods and procedures monitor all inspectors and other personnel involved in inspection activities for satisfactory performance?</p> <p>Are results of monitoring used as one means to identify training needs (6.1.7)?</p> <p><b>Note:</b> Monitoring can include a combination of techniques such as on-site observations, report reviews, interviews, simulated inspections and other techniques to assess performance and will depend on the nature of inspection activities.</p>	
<p><b>6.1.9</b> Is each inspector observed on-site unless there is sufficient supporting evidence that the inspector is continuing to perform competently?</p> <p><b>Note:</b> It is expected that on-site observations are performed in a way that minimizes the disturbance of the inspections, especially from the customer's view point.</p>	
<p><b>6.1.10</b> Are records of monitoring, education, training, technical knowledge and experience of each member of its personnel involved in inspection activities maintained by the Inspection Body?</p>	
<p><b>6.1.11</b> Is the way which personnel involved in inspection activities are remunerated such that it influences the results of inspections?</p>	
<p><b>6.1.12</b> Do all personnel of the Inspection Body, either internal or external, that could influence the inspection activities act impartially?</p>	

REQUIREMENTS	COMMENTS
<p><b>6.1.13</b> Are all personnel of the Inspection Body including sub-contractors, personnel of external bodies, or individuals acting on the inspection body's behalf keeping confidential all information obtained or created during the performance of the inspection activities, except as required by law?</p>	
<p><b>6.2 Facilities and equipment</b></p>	
<p><b>6.2.1</b> Does the Inspection Body have available to it suitable and adequate facilities and equipment to permit all activities associated with the inspection activities to be carried out in a competent and safe manner?</p> <p><b>Note:</b> The Inspection Body need not be the owner of the facilities or equipment that it uses. Facilities and equipment can be borrowed, rented, hired, leased or provided by another party (e.g. the manufacturer or installer of the equipment). However, the responsibility for the suitability and the calibration status of the equipment used in inspection whether owned by the Inspection Body or not, lies solely with the Inspection Body.</p>	
<p><b>6.2.2</b> Does the Inspection Body have rules for the access to and the use of specified facilities and equipment used to perform inspections?</p>	
<p><b>6.2.3</b> Does the Inspection Body ensure the continued suitability of the facilities and the equipment mentioned in 6.2.1 for their intended use?</p>	
<p><b>6.2.4</b> Are all equipment having a significant influence on the results of the inspection, i.e. the conclusion about conformity with requirements, defined and, where appropriate, uniquely identified?</p>	



REQUIREMENTS	COMMENTS
<p><b>6.2.5</b> Are all equipment (6.2.4) properly maintained in accordance with documented procedures and instructions?</p>	
<p><b>6.2.6</b> Where appropriate, are measurement equipment having a significant influence on the results of the inspection calibrated:</p> <ul style="list-style-type: none"> <li>• Before being put into service; and</li> <li>• Thereafter according to an established programme?</li> </ul>	
<p><b>6.2.7</b> Is the overall programme of calibration of equipment designed and operated so as to ensure that, wherever applicable, measurements made by the Inspection Body are traceable to national or international standards of measurement where available.</p> <p>Where traceability to national or international standards of measurement is not applicable, the Inspection Body shall provide satisfactory evidence of correlation of accuracy of inspection results.</p>	
<p><b>6.2.8</b> Are reference standards of measurement held by the Inspection Body used for calibration only and for no other purpose?</p> <p>Are reference standards of measurement calibrated providing traceability to a national or international standard of measurement?</p>	
<p><b>6.2.9</b> Where relevant, are equipment subjected to in-service checks between regular recalibrations?</p>	
<p><b>6.2.10</b> Are reference materials traceable to national or international standard reference materials where they exist?</p>	

REQUIREMENTS	COMMENTS
<p><b>6.2.11</b> Where relevant for the outcome of inspection activities, does the Inspection Body have procedures for:</p> <ol style="list-style-type: none"> <li>a. Selection and approval of suppliers;</li> <li>b. Verification of incoming goods and services;</li> <li>c. Ensuring appropriate storage facilities.</li> </ol>	
<p><b>6.2.12</b> Where applicable, is the condition of stored items assessed at appropriate intervals to detect deterioration?</p>	
<p><b>6.2.13</b> If the Inspection Body uses computers or automated equipment in connection with inspections, does it ensure that:</p> <ol style="list-style-type: none"> <li>a. Computer software is adequate for use;</li> </ol> <p>Note: This can be done by:</p> <ul style="list-style-type: none"> <li>- Validation of calculations before use</li> <li>- Periodic revalidation of related hardware and software</li> <li>- Revalidation whenever changes are made to related hardware or software</li> <li>- Software updates implemented as required</li> </ul> <ol style="list-style-type: none"> <li>b. Procedures are established and implemented for protecting the integrity and security data; and</li> <li>c. Computer and automated equipment is maintained in order to ensure proper functioning?</li> </ol>	
<p><b>6.2.14</b> Does the Inspection Body have documented procedures for dealing with defective equipment? Are defective equipment removed from service by segregation, prominent labeling or marking? Does the Inspection Body examine the effect of defects on:</p> <ul style="list-style-type: none"> <li>• Previous inspections; and</li> <li>• When necessary take appropriate corrective action?</li> </ul>	

REQUIREMENTS	COMMENTS
<p><b>6.2.15</b> Are relevant information on the equipment, including software, recorded?</p> <p>Does it include identification and where appropriate, information on calibration and maintenance?</p>	
<p><b>6.3 Sub-contracting</b></p>	
<p><b>6.3.1</b> Do the Inspection Body itself normally perform the inspections which it contracts to undertake?</p> <p>Where an Inspection Body sub-contracts any part of the inspection, does it ensure and is it able to demonstrate that the sub-contractor is competent to perform the activities in question and where applicable, complies with the relevant requirements stipulated in this international standard or in other relevant conformity assessment standards.</p> <p><b>Note 1:</b> Reasons to sub-contract can be an unforeseen or abnormal overload, key inspection staff members are incapacitated or key facilities or items of equipment are temporarily unfit for use or part of the contract from the client involves inspection not covered by the Inspection Body's scope or is beyond the capability or resources of the Inspection Body.</p> <p><b>Note 2:</b> The terms "sub-contracting" and "outsourcing" are considered to be synonyms.</p> <p><b>Note 3:</b> Where the Inspection Body engages individuals or employees of other organizations to provide additional resources or expertise, these individuals are not considered to be sub-contractors provided they are formally contracted to operate under the Inspection Body's management system (see 6.1.2).</p>	
<p><b>6.3.2</b> Does the Inspection Body inform customer of its intention to sub-contract any part of the inspection?</p>	
<p><b>6.3.3</b> Whenever work, which forms part of an inspection, is carried out by sub-contractors, does the responsibility for the determination of conformity of the inspected item with the requirements remain with the inspection body?</p>	

REQUIREMENTS	COMMENTS
<p><b>6.3.4</b> Does the Inspection Body record and retain details of its investigation of the competence of its sub-contractors and of their conformity with the applicable requirements of this international standard?</p> <p>Does the Inspection Body maintain a register of all sub-contractors?</p>	
<p><b>7 Process requirements</b></p> <p><b>7.1 Inspection methods and procedures</b></p>	
<p><b>7.1.1</b> Does the Inspection Body use the methods and procedures for inspection which are defined in the requirements against which inspection is to be performed?</p> <p>Where these are not defined, did the Inspection Body develop specific methods and procedures to be used (see 7.1.3)?</p> <p>Does the Inspection Body inform the customer if the inspection method proposed by the customer is considered to be inappropriate?</p> <p><b>Note 1:</b> The requirements against which the inspection is performed are normally specified in regulations, standards or specifications, inspection schemes or contracts.</p> <p>Specifications may include customer or in-house requirements.</p>	
<p><b>7.1.2</b> Do the Inspection Body have and use adequate documented instructions on inspection planning and on sampling and inspection techniques, where the absence of such instructions could jeopardize the effectiveness of the inspection process?</p> <p>Where applicable, do the Inspection Body have sufficient knowledge of statistical techniques to ensure statistically sound sampling procedures and the correct processing and interpretation of results?</p>	
<p><b>7.1.3</b> When the Inspection Body has to use inspection methods or procedures which are non-standard, are</p>	

REQUIREMENTS	COMMENTS
<p>such methods and procedures appropriate and fully documented.</p> <p><b>Note:</b> A standard inspection method is one that has been published, for example, in international, regional, national standards or by reputable technical organizations or by cooperation of several inspection bodies or in relevant scientific text or journals. This means that methods developed by any other means, including by the Inspection Body itself or by the customer, are considered to be non-standard methods.</p>	
<p><b>7.1.4</b> Are all instructions, standards or written procedures, worksheets, checklists and reference data relevant to the work of the Inspection Body maintained up-to-date and be readily available to the personnel?</p>	
<p><b>7.1.5</b> Does the Inspection Body have a contract or work order control system which ensures that:</p> <ul style="list-style-type: none"> <li>a. Work to be undertaken is within its expertise and that then organization has adequate resources to meet the requirements;</li> </ul> <p><b>Note:</b> Resources can include but are not limited to facilities, equipment, reference documentation, procedures or human resources.</p> <ul style="list-style-type: none"> <li>b. The requirements of those seeking the Inspection Body's services are adequately defined and that special conditions are understood so that unambiguous instructions can be issued to personnel performing the duties to be required;</li> <li>c. Work being undertaken is controlled by regular review and corrective action;</li> <li>d. The requirements of the contract or work order have been met?</li> </ul>	
<p><b>7.1.6</b> When the Inspection Body uses information supplied by any other party as part of the inspection process, does it verify the integrity of such information?</p>	

REQUIREMENTS	COMMENTS
<p><b>7.1.7</b> Are observations or data obtained in the course of inspections recorded in a timely manner to prevent loss of relevant information?</p>	
<p><b>7.1.8</b> Are calculations and data transfers subject to appropriate checks?</p> <p><b>Note:</b> Data can include textual material, digital data and anything else that is transferred from one location to another where errors could be introduced.</p>	
<p><b>7.1.9</b> Does the Inspection Body have documented instructions for carrying out inspection in a safe manner?</p>	
<p><b>7.2 Handling inspection items and samples</b></p>	
<p><b>7.2.1</b> Does the Inspection Body ensure items and samples to be inspected are uniquely identified to avoid confusion regarding the identity of such items and samples?</p>	
<p><b>7.2.2</b> Does the Inspection Body establish whether the item to be inspected has been prepared?</p>	
<p><b>7.2.3</b> Are any apparent abnormalities notified to, or noticed by the inspector recorded?</p> <p>Where there is any doubt as to the item's suitability for the inspection to be carried out, or where the item does not conform to the description provided, does the Inspection Body contact the customer and record the outcome before proceeding?</p>	
<p><b>7.2.4</b> Does the Inspection Body have documented procedures and appropriate facilities to avoid deterioration or damage to inspection items while under its responsibility?</p>	
<p><b>7.3 Inspection records</b></p>	

REQUIREMENTS	COMMENTS
<p><b>7.3.1</b> Does the Inspection Body maintain a record system (see 8.4) to demonstrate the effective fulfillment of the inspection procedures and enable an evaluation of the inspection?</p>	
<p><b>7.3.2</b> Is the inspection report or certificate internally traceable to the inspector(s) who performed the inspection?</p>	
<p><b>7.4 Inspection reports and inspection certificates</b></p>	
<p><b>7.4.1</b> Are the work carried out by the Inspection Body covered by a retrievable inspection report or inspection certificate?</p>	
<p><b>7.4.2</b> Does the inspection report / certificate include all the following:</p> <ul style="list-style-type: none"> <li>a. Identification of the issuing body;</li> <li>b. Unique identification and date of issue;</li> <li>c. Date(s) of inspection;</li> <li>d. Identification of the item(s) inspected;</li> <li>e. Signature or other indication of approval by authorized personnel;</li> <li>f. A statement of conformity where applicable; and</li> <li>g. The inspection results except where detailed in accordance with clause 7.4.3</li> </ul> <p><b>Note:</b> Optional elements which can be included in inspection reports or certificates are provided in Annex B (Informative)</p>	
<p><b>7.4.3</b> Does the Inspection Body only issue an inspection certificate that does not include the inspection results (7.4.2 g) when then the Inspection Body can also produce an inspection report containing the inspection results and both the inspection certificate and inspection report are traceable to each other?</p>	

REQUIREMENTS	COMMENTS
<p><b>7.4.4</b> Are all information (7.4.2) reported correctly, accurately and clearly?</p> <p>Where the inspection report or inspection certificate contains results supplied by sub-contractors, are these results clearly identified?</p>	
<p><b>7.4.5</b> Are corrections or additions to an inspection report or inspection certificate after issue recorded in accordance with the relevant requirements of this section (see 8.4)?</p> <p>is the amended report or certificate identifying the report or certificate it replace?</p>	
<p><b>7.5 Complaints and appeals</b></p>	
<p><b>7.5.1</b> Does the Inspection Body have a documented process, evaluate and make decisions on complaints and appeals?</p>	
<p><b>7.5.2</b> Is a description of the handling process for complaints and appeals available to any interested party on request?</p>	
<p><b>7.5.3</b> Upon receipt of a complaint, does the Inspection Body confirm whether the complaint relates to conformity assessment activities that it is responsible for and, if so, shall deal with it?</p>	
<p><b>7.5.4</b> Is the Inspection Body responsible for all decisions at all levels of the handling process for complaints and appeals?</p>	
<p><b>7.5.5</b> Does investigation and decision on appeals result in any discriminatory actions?</p>	



REQUIREMENTS	COMMENTS
<b>7.6 Complaints and appeals procedure</b>	
<p><b>7.6.1</b> Does the handling process for complaints and appeals include at least the following elements and methods:</p> <ul style="list-style-type: none"> <li>a. A description of the process for receiving, validating, investigating the complaint or appeal and deciding what actions are to be taken in response to it;</li> <li>b. Tracking and recording complaints and appeals including actions undertaken to resolve them;</li> <li>c. Ensuring that any appropriate action is taken.</li> </ul>	
<p><b>7.6.2</b> Is the body receiving the complaint or appeal responsible for gathering and verifying all necessary information to validate the complaint or appeal?</p>	
<p><b>7.6.3</b> Whenever possible, does the body acknowledge receipt of the complaint or appeal and provide the complainant or appellant with progress reports and the outcome?</p>	
<p><b>7.6.4</b> Is the decision to be communicated to the complainant or appellant made by, or reviewed and approved by individual(s) not involved in the original inspection activities in question?</p>	
<p><b>7.6.5</b> Whenever possible, does the body give formal notice of the end of the complaint and appeals handling process to the complainant or appellant?</p>	
<b>8 Management system requirements for Inspection Bodies</b>	
<b>8.1 General</b>	
<p><b>8.1.1</b> Does the Inspection Body establish and maintain a management system that is capable of achieving the consistent fulfillment of the requirements of this international standard in accordance with either Option A or Option B?</p>	

REQUIREMENTS	COMMENTS
<p><b>8.1.2 Option A</b></p> <p>The management system of the body shall address the following:</p> <ul style="list-style-type: none"> <li>• General management system documentation (e.g. manual, policies, definition of responsibilities – 8.2);</li> <li>• Control of documents (8.3);</li> <li>• Control of records (8.4);</li> <li>• Management review (8.5);</li> <li>• Internal audit (8.6);</li> <li>• Corrective actions (8.7)</li> <li>• Preventive actions (8.8);</li> <li>• Complaints and appeals (7.5 &amp; 7.6)</li> </ul>	
<p><b>8.1.3 Option B</b></p> <p>Has the body that has established and maintains a management system in accordance with the requirements of ISO 9001 and that is capable of supporting and demonstrating the consistent fulfillment of the requirements of this international standard fulfils the management system (Section 8) requirements?</p>	
<p><b>8.2 General management system documentation (Option A)</b></p>	
<p><b>8.2.1</b> Did the Inspection Body’s top management establish, document and maintain policies and objectives for fulfillment of this international standard and do they ensure the policies and objectives are acknowledged and implemented at all levels of the Inspection Body’s organization?</p>	
<p><b>8.2.2</b> Does the top management provide evidence of its commitment to the development and implementation of the management system and its effectiveness in achieving consistent fulfillment of this international standard?</p>	
<p><b>8.2.3</b> Did the Inspection Body’s top management appoint a member of management who, irrespective of other responsibilities, have responsibility and authority that include:</p>	

REQUIREMENTS	COMMENTS
<p><b>8.2.3 (cont.)</b></p> <ul style="list-style-type: none"> <li>a. Ensuring that processes and procedures needed for the management system are established, implemented and maintained; and</li> <li>b. Reporting to the top management on the performance of the management system and any need for improvement.</li> </ul>	
<p><b>8.2.4</b> Are all documentation, processes, systems, records, etc. related to the fulfillment of the requirements of this international standard included, referenced or linked to documentation of the management system?</p>	
<p><b>8.2.5</b> Do all personnel involved in inspection activities have access to the parts of the management system documentation (and related information above) that are applicable to their responsibilities?</p>	
<p><b>8.3 Control of documents (Option A)</b></p>	
<p><b>8.3.1</b> Did the Inspection Body establish procedures to control the documents (internal and external) that relate to the fulfillment of this international standard?</p>	
<p><b>8.3.2</b> Do the procedures define the controls needed to:</p> <ul style="list-style-type: none"> <li>a) Approve documents for adequacy prior to issue;</li> <li>b) Review and update as necessary and re-approve documents;</li> <li>c) Ensure that changes and the current revision status of documents are identified;</li> <li>d) Ensure that relevant versions of applicable documents are available at points of use;</li> <li>e) Ensure that documents of external origin are identified and their distribution controlled; and</li> <li>f) Prevent the unintended use of obsolete documents and to apply suitable identification to them if they are retained for any purpose.</li> </ul> <p><b>Note:</b> Documentation can be in any form or type of</p>	

REQUIREMENTS	COMMENTS
<p><b>8.3.2 (cont.)</b> medium and includes proprietary and in-house developed software.</p>	
<p><b>8.4 Control of records (Option A)</b></p>	
<p><b>8.4.1</b> Did the Inspection Body establish procedures to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of its records related to the fulfillment of this international standard?</p>	
<p><b>8.4.2</b> Did the Inspection Body establish procedures for retaining records for a period consistent with its contractual and legal obligations?  Is access to these records consistent with the confidentiality arrangements?</p>	
<p><b>8.5 Management review (Option A)</b></p>	
<p><b>8.5.1 General</b></p>	
<p><b>8.5.1.1</b> Did the Inspection Body's top management establish procedures to review its management system at planned intervals to ensure its continuing suitability, adequacy and effectiveness including the stated policies and objectives related to the fulfillment of this international standard?</p>	
<p><b>8.5.1.2</b> Are these reviews conducted at least once a year? Alternatively is a complete review broken up into segments (a rolling review) completed within a 12 month timeframe?</p>	
<p><b>8.5.1.3</b> Are records of review maintained?</p>	
<p><b>8.5.2 Review inputs</b>  Does the input to the management review include information related to:</p>	

REQUIREMENTS	COMMENTS
<p><b>8.5.2 (cont.)</b></p> <ul style="list-style-type: none"> <li>a) Results of internal and external audits;</li> <li>b) Feedback from customers and interested parties related to the fulfillment of this international standard;</li> <li>c) Status of preventive and corrective actions;</li> <li>d) Follow-up actions from previous management reviews;</li> <li>e) Fulfillment of objectives;</li> <li>f) Changes that could affect the management system; and</li> <li>g) Appeals and complaints.</li> </ul>	
<p><b>8.5.3 Review outputs</b></p> <p>Does the outputs from the management review include decisions and actions related to:</p> <ul style="list-style-type: none"> <li>a) Improvement of the effectiveness of the management system and its processes;</li> <li>b) Improvement of the Inspection Body related to the fulfillment of this international standard; and</li> <li>c) Resource needed.</li> </ul>	
<p><b>8.6 Internal audits (Option A)</b></p>	
<p><b>8.6.1</b> Did the Inspection Body establish procedures for internal audits to verify that it fulfills the requirements of this international standard and that the management system is effectively implemented and maintained?</p> <p><b>Note:</b> ISO 19011 provides guidelines for conducting internal audits.</p>	
<p><b>8.6.2</b> Was an audit programme planned, taking into consideration the importance of the processes and areas to be audited as well as the results of previous audits?</p>	

REQUIREMENTS	COMMENTS
<p><b>8.6.3</b> Does the Inspection Body conduct periodic internal audits covering all procedures in a planned and systematic manner to verify that the management system is implemented and is effective?</p>	
<p><b>8.6.4</b> Are internal audits performed at least once every 12 months?</p> <p>The frequency of internal audits may be adjusted depending on the demonstrate effectiveness of the management system and its proven stability.</p>	
<p><b>8.6.5</b> Do the Inspection Body shall ensure that:</p> <ul style="list-style-type: none"> <li>a) Internal audits are conducted by qualified personnel knowledgeable in inspection, auditing and the requirements of this international standard;</li> <li>b) Auditors do not audit their own work;</li> <li>c) Personnel responsible for the area audited are informed of the outcome of the audit;</li> <li>d) Any actions resulting from internal audits are taken in a timely and appropriate manner;</li> <li>e) Any opportunities for improvement are identified; and</li> <li>f) The results of the audit are documented?</li> </ul>	
<p><b>8.7 Corrective actions (Option A)</b></p>	
<p><b>8.7.1</b> Did the Inspection Body establish procedures for identification and management of nonconformities in its operation?</p>	
<p><b>8.7.2</b> Does the Inspection Body also, where necessary, take actions to eliminate the causes of nonconformities in order to prevent recurrence?</p>	

REQUIREMENTS	COMMENTS
<p><b>8.7.3</b> Are corrective actions appropriate to the impact of the problem encountered?</p>	
<p><b>8.7.4</b> Do the procedures define requirements for:</p> <ul style="list-style-type: none"> <li>a) Identifying nonconformities;</li> <li>b) Determining the causes of non-conformities;</li> <li>c) Correcting nonconformities;</li> <li>d) Evaluating the need for actions to ensure that nonconformities do not occur;</li> <li>e) Determining and implementing in a timely manner the actions needed;</li> <li>f) Recording the results of actions taken; and</li> <li>g) Reviewing the effectiveness of corrective actions?</li> </ul>	
<p><b>8.8 Preventive actions (Option A)</b></p>	
<p><b>8.8.1</b> Did the Inspection Body establish procedures for taking preventive actions to eliminate the causes of potential nonconformities?</p>	
<p><b>8.8.2</b> Are preventive actions taken appropriate to the probable impact of the potential problems?</p>	
<p><b>8.8.3</b> Do the procedures for preventive actions define requirements for:</p>	

REQUIREMENTS	COMMENTS	
<p><b>8.8.3 (cont.)</b></p> <ul style="list-style-type: none"> <li>a) Identifying potential nonconformities and their causes;</li> <li>b) Evaluating the need for action to prevent the occurrence of nonconformities;</li> <li>c) Determining and implementing the action needed;</li> <li>d) Recording the results of actions taken; and</li> <li>e) Reviewing the effectiveness of the preventive actions taken.</li> </ul>		
<p><b>Additional /General Comments (This space may be used to expand on comments in specific sections)</b></p>		
<p><b>Signed Team Leader/ Technical Assessor:</b></p>		<p><b>Date:</b></p>