

SADCAS Ref. No:

ISO/IEC 17020: 2012 - Checklist for Accreditation of Various Types of Bodies Performing Inspection.							
Date/s of assessment							
Name of Organisation							
Organisation Representative							
Scope of Organisation Assessed							
Team Leader							
Technical Assessors / Experts / Observers							
This report covers the following:							
Document Review only		Implementation on Site Visit only		Document Review and Site Visit		Other	
REQUIREMENTS & COMMENTS.							
<p>NOTE 1: For <u>CAB's COMMENTS</u>: Please add in this column ONLY the following information with respect to your management system documentation manual or procedures:</p> <ul style="list-style-type: none"> ▪ Document name/number where this clause is referenced; ▪ Page number where this clause is referenced; and ▪ Paragraph number (if applicable) where this clause is referenced. ▪ Please do not add any further text. <p>NOTE 2: For <u>ASSESSOR's COMMENTS</u>: The Assessor must provide information on the CAB's conformity with the requirements</p>							
REQUIREMENTS				CAB's COMMENTS <i>(Refer to instructions on Pg. 1)</i>		ASSESSOR's COMMENTS	
4. General Requirements							
4.1 Impartiality and Independence							
4.1.1 Are inspection activities undertaken impartially?							

REQUIREMENTS	CAB's COMMENTS <i>(Refer to instructions on Pg. 1)</i>	ASSESSOR's COMMENTS
<p>4.1.2 Is the inspection body that is part of a legal entity involved in activities other than inspection identifiable within that entity?</p>		
<p>4.1.3 Does the inspection body identify risks to its impartiality on an ongoing 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.</p> <p>NOTE: 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>ILAC P15: 4.1.3 n1 "on an ongoing basis" means that the inspection body identifies a risk whenever events occur which might have a bearing on the impartiality of the inspection body.</p> <p>ILAC P15: 4.1.3 n2 The inspection body shall describe any of its relationships or its personnel's that could affect its impartiality, to the extent relevant, using organisational diagrams or other means.</p> <p>ILAC P15: 4.1.3 n3 Annex 1 gives an example of a possible format for impartiality risk analysis.</p>		
<p>4.1.4 If a risk to impartiality is identified, is the inspection body able to demonstrate how it eliminates or minimises such risk?</p>		
<p>ILAC P15: 4.1.4 n1 Threats and inducements aimed at inspectors or other inspection body personnel may represent serious risks to impartiality. Threats and inducements may originate from inside or outside the inspection body and may happen at any time. The inspection body should record perceived and explicit risks to impartiality of inspections. All personnel working on behalf of the inspection body, should be aware of the responsibility to act impartially, be involved accordingly in the inspection body's impartiality measures and have appropriate access to provide records as issues arise. The Inspection body's analysis of risks to impartiality should include details of the inspection body's responses to such risks.</p>		
<p>4.1.5 Is the top management of the Inspection Body committed to impartiality?</p>		

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<p>ILAC P15: 4.1.5 n1 The inspection body shall have a documented statement emphasising its commitment to impartiality in carrying out its inspection activities, managing conflicts of interest and ensuring the objectivity of its inspection activities. Actions emanating from the top management shall not contradict this statement.</p> <p>ILAC P15: 4.1.5 n2 One way for the top management to emphasise its commitment to impartiality is to make relevant statements and policies publicly available.</p>		
<p>4.1.6 Is the inspection body independent to the extent that is required with regard to the conditions under which it performs its services? Depending on these conditions does it meet the minimum criteria stipulated in the Annex A (normative)?</p>		
<p>ILAC P15: 4.1.6 n1 An inspection body may have different types of independence (Type A, B or C) for different inspection activities listed on the scope of accreditation. However, it is not possible for an Inspection Body to offer different independence types for the same inspection activity.</p> <p>ILAC P15: 4.1.6 n2 Complying with the Type A independence requirements A.1b and A.1.c is binary (yes or no) meaning that partly complying with Type A independence requirements is not possible. This also means that a risk analysis resulting in control measures to minimize the impartiality risks of a situation where there is no compliance with these Type A requirements is not possible. Hence, only elimination of the situation that is not compliant with these Type A requirements is possible.</p>		
<p>4.2 Confidentiality</p>		
<p>4.2.1 Is the inspection body responsible, through legally enforceable commitments, for the management of all information obtained or created during the performance of inspection activities? Does the inspection body inform the customer, in advance, of the information it intends to place in the public domain? 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), is all other information considered proprietary information and regarded as confidential?</p> <p>NOTE Legally enforceable commitments can be, for example, contractual agreements.</p>		

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<p>4.2.2 When the inspection body is required by law or authorised by contractual commitments to release confidential information, is the customer or individual concerned, unless prohibited by law, notified of the information provided?</p>		
<p>4.2.3 Is information about the customer obtained from sources other than the customer (e.g. complainant, regulators) treated as confidential?</p>		
<p>5. Structural Requirements 5.1 Administrative Requirements</p>		
<p>5.1.1 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>NOTE: A governmental inspection body is deemed to be a legal entity on the basis of its governmental status.</p>		
<p>ILAC P15: 5.1.1 n1 The inspection body should be a registered juristic person (corporate body). Company name, address, names of directors, contact numbers and registration number shall be made available. No applications from "Sole Proprietors" shall be accepted for accreditation since a sole proprietor is not a legal entity.</p> <p>ILAC P15: 5.1.1 n2 Upon obtaining accreditation and subsequently approval, a certificate that contains the name, location of the Inspection Bodies, the name of the responsible person (however named) and approved signatories, and the type (scope) shall be issued. The certificate of accreditation from SADCAS shall be prominently displayed at all times.</p>		
<p>5.1.2 Is the inspection body that is part of a legal entity involved in activities other than inspection identifiable within that entity?</p>		
<p>5.1.3 Does the inspection body have documentation which describes the activities for which it is competent?</p>		

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<p>ILAC P15: 5.1.3 n1 The inspection body shall describe its activities by defining the general field and range of inspection (e.g. categories/sub-categories of products, processes, services or installations) and the stage of inspection, (see note to clause 1 of the standard) and, where applicable, the regulations, standards or specifications containing the requirements against which the inspection will be performed. ILAC G28 gives guidance for the Formulation of Scopes of Accreditation for Inspection Bodies.</p>		
<p>5.1.4 Does the inspection body have adequate provision (e.g. insurance or reserves) to cover liabilities arising from its operations?</p> <p>NOTE: The liability can be assumed by the State in accordance with national laws or by the organisation of which the inspection body forms a part.</p>		
<p>ILAC P15: 5.1.4 n1 The level of provisions should be commensurate with the level and nature of liabilities that may arise from the inspection body's operations.</p> <p>ILAC P15: 5.1.4 n2 An assessment of 'adequacy' may be based on evidence of agreement between the parties to the contract and consideration of any relevant statutory requirements or scheme rules. The inspection body should be able to show what factors have been taken into account when determining what constitutes "adequate provision". It is not the role of an accreditation body to approve the provision held by an inspection body.</p> <p><i>Note: Inspection Bodies should pay particular attention to insurance cover when undertaking inspection work in another country, where legal requirements may differ from those in the body's home country.</i></p>		
<p>5.1.5 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>5.2 Organisation and Management</p>		
<p>5.2.1 Is the inspection body structured and managed so as to safeguard impartiality?</p>		
<p>ILAC P15: 5.2.1 n1 A one person 'organisation' may be accredited provided all relevant clauses of SANS/ISO/IEC 17020 are effectively implemented.</p>		

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<p>5.2.2 Is the inspection body organised and managed so as to enable it to maintain the capability to perform its inspection activities?</p> <p>NOTE: 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>ILAC P15: 5.2.2 n1 The size, structure, composition, and management of an inspection body, taken together, shall be suitable for the competent performance of the activities within the scope for which the inspection body is accredited.</p> <p>ILAC P15: 5.2.2 n2 "To maintain the capability to perform the inspection activities" implies that the inspection body shall take steps to keep it appropriately informed about applicable technical and/or legislative developments concerning its activities.</p> <p>ILAC P15: 5.2.2 n3 Inspection bodies shall maintain their capability and competence to carry out inspection activities performed infrequently (normally with intervals longer than one year). An inspection body may demonstrate its capability and competence for inspection activities performed infrequently through 'dummy inspections' and/or through inspection activities conducted on similar products.</p>		
<p>5.2.3 Did the inspection body define and document the responsibilities and reporting structure of the organisation?</p>		
<p>ILAC P15: 5.2.3 n1 The inspection body shall maintain an up-to-date organisational chart or documents clearly indicating the functions and lines of authority for staff within the inspection body. The position of the technical manager(s) and the member of management referenced in clause 8.2.3 shall be clearly shown in the chart or documents.</p>		
<p>5.2.4 Where the inspection body forms a part of a legal entity performing other activities, is the relationship between these other activities and inspection activities defined?</p>		
<p>ILAC P15: 5.2.4 n1 It may be relevant to provide information concerning personnel which carry out work tasks for both the inspection body and for other units and departments in order to take into account the involvement and the influence they may have over the inspection activities.</p>		

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<p>5.2.5 Does the inspection body have available one or more person(s) as technical manager(s), however named, who have overall responsibility to ensure that the inspection activities are carried out in accordance with this International Standard?</p> <p>NOTE: This person fulfilling this function does not always have the title of technical manager.</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 one technical manager, are the specific responsibilities of each manager defined and documented?</p>		
<p>ILAC P15: 5.2.5 n1 In order to be considered as "available", the person shall be either employed or otherwise contracted.</p> <p>ILAC P15: 5.2.5 n2 In order to ensure that the inspection activities are carried out in accordance with ISO/IEC 17020, the technical manager(s) and any deputy(ies), shall have the technical competence necessary to understand all significant issues involved in the performance of inspection activities.</p>		
<p>5.2.6 Does the inspection body have one or more named person(s) who will deputise in the absence of any technical manager responsible for ongoing inspection activities?</p>		
<p>ILAC P15: 5.2.6 n1 In an organisation where the absence of a key person causes the cessation of work, the requirement for having deputies is not applicable.</p>		
<p>5.2.7 Does the inspection body have a job description or other documentation for each position category within its organisation involved in inspection activities?</p>		
<p>ILAC P15: 5.2.7 n1 The position categories involved in inspection activities are inspectors and other positions which could have an effect on the management, performance, recording or reporting of inspections.</p> <p>ILAC P15: 5.2.7 n2 The job description or other documentation shall detail the duties, responsibilities and authorities for each position category referred to in 5.2.7 n1</p>		

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<p>6 Resource Requirements</p> <p>6.1 Personnel</p>		
<p>6.1.1 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>NOTE The competence requirements can be part of the job description or other documentation mentioned in 5.2.7.</p>		
<p>ILAC P15: 6.1.1 n1 Where appropriate, inspection bodies shall define and document competence requirements for each inspection activity, as described in 5.1.3 n1. Some aspects of competence requirements may already be defined by regulators and scheme owners or specified by clients. Where this is the case, the inspection body should incorporate/reference these requirements into their overall competence definitions. The inspection body remains responsible for the appropriateness of competence definitions and their compliance with the requirements of ISO/IEC 17020.</p> <p>ILAC P15: 6.1.1 n2 For “personnel involved in inspection activities”, see 5.2.7 n1.</p> <p>ILAC P15: 6.1.1 n3 Competence requirements shall include knowledge of the inspection body's management system and ability to implement administrative as well as technical procedures applicable to the activities performed.</p> <p>ILAC P15: 6.1.1 n4 When professional judgment is needed to determine conformity, this shall be considered when defining competence requirements.</p>		
<p>6.1.2 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 judgements, to perform the type, range, and volume of its inspection activities?</p>		
<p>ILAC P15: 6.1.2 n1 All requirements of ISO/IEC 17020 apply equally for both employed and contracted persons.</p>		
<p>6.1.3 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>		

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<p>Do they also have relevant knowledge of?</p> <ul style="list-style-type: none"> - the technology used for the manufacturing of the products inspected, operation of processes and delivery of services; - the way in which products are used, processes are operated, and services delivered; and - 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? <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>6.1.4 Does the inspection body make clear to each person their duties, responsibilities, and authorities?</p>		
<p>6.1.5 Does the inspection body have documented procedures for:</p> <ul style="list-style-type: none"> • selecting, • training, • formally authorising and • monitoring inspectors and • other personnel involved in inspection activities? 		
<p>ILAC P15: 6.1.5 n1 The procedure for formally authorising inspectors shall specify that the relevant details are documented, e.g. the authorised inspection activity, the beginning of the authorisation, the identity of the person who performed the authorisation and, where appropriate, the termination date of the authorisation.</p>		
<p>6.1.6 Does the documented procedures for training (6.1.4) address the following stages:</p> <ul style="list-style-type: none"> a) an induction period; b) a mentored working period with experienced inspectors; and c) Continuing training to keep pace with developing technology and inspection methods. 		

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<p>ILAC P15: 6.1.6 n1 The “mentored working period” mentioned in item b should include participation in inspections at the locations where these inspections are performed.</p>		
<p>6.1.7 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>ILAC P15: 6.1.7 n1 Identification of training needs for each person shall take place at regular intervals. The interval shall be selected to ensure fulfilment of clause 6.1.6 item c. The results of the review of training, e.g. plans for further training or a statement that no further training is required, shall be documented.</p>		
<p>6.1.8 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>NOTE 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>ILAC P15: 6.1.8 n1 A major aim of the monitoring requirement is to provide the inspection body with a tool to ensure the consistency and reliability of inspection outcomes, including any professional judgments against general criteria. Monitoring may result in the identification of needs for individual training or needs for review of the inspection body's management system.</p> <p>ILAC P15: 6.1.8 n2 For “other personnel involved in inspection activities”, see 5.2.7 n1.</p>		
<p>6.1.9 Is each inspector observed onsite unless there is sufficient supporting evidence that the inspector is continuing to perform competently?</p> <p>NOTE: It is expected that on-site observations are performed in a way that minimises the disturbance of the inspections, especially from the customer's viewpoint.</p>		
<p>ILAC P15: 6.1.9 n1 To be considered sufficient, the evidence that the inspector is continuing to perform competently shall be substantiated by a combination of information such as;</p> <ul style="list-style-type: none"> - satisfactory performance of examinations and determinations, 		

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<ul style="list-style-type: none"> - positive outcome of monitoring (see note to clause 6.1.8), - positive outcome of separate evaluations to confirm the outcome of the inspections (this may be possible and appropriate in the case of e.g. the inspection of construction documentation), - positive outcome of mentoring and training, - absence of legitimate appeals or complaints, and - satisfactory results of witnessing by a competent body, e.g. a certification body for persons. <p>ILAC P15: 6.1.9 n2 An effective program for the on-site observation of inspectors may contribute to fulfil the requirements in clauses 5.2.2 and 6.1.3. The program shall be designed considering;</p> <ul style="list-style-type: none"> - the risks and complexities of the inspections, - results of previous monitoring activities, and - technical, procedural, or legislative developments relevant to the inspections. <p>The frequency of on-site observations depends on the issues listed above but shall be at least once during the accreditation re-assessment cycle, however, see application note 6.1.9 n1. If the levels of risks or complexities, or the results from previous observations, so indicate, or if technical, procedural, or legislative changes have occurred, then a higher frequency should be considered. Depending on the fields, types and ranges of inspection covered by the inspector's authorisations, there may be more than one observation per inspector necessary to adequately cover the whole range of required competencies. Also, more frequent on-site observations may be necessary if there is lack of evidence of continuing satisfactory performance.</p> <p>ILAC P15: 6.1.9 n3 This requirement applies even in the case the inspection body has only one technically competent person.</p>		
<p>6.1.10 Are records of monitoring, education, training, technical knowledge, skills, experience, and authorisation of each member of its personnel involved in inspection activities maintained by the inspection body?</p>		
<p>ILAC P15: 6.1.10 n1 Records of authorisation shall specify the basis on which authorisation was granted (e.g. the on-site observation of inspections).</p>		
<p>6.1.11 Is the way in which personnel, involved in inspection activities, are remunerated such that it influences the results of inspections?</p>		
<p>ILAC P15: 6.1.11 n1 Remuneration methods that provide incentives to perform inspections quickly have the potential to negatively affect the quality and outcome of inspection work.</p>		

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<p>6.1.12 Do all personnel of the inspection body, either internal or external, that could influence the inspection activities, act impartially?</p>		
<p>ILAC P15: 6.1.12 n1 Policies and procedures shall assist inspection body personnel in identifying and addressing commercial, financial, or other threats or inducements which could affect their impartiality, whether they originate inside or outside the inspection body. Such procedures shall address how any conflicts of interests identified by personnel of the inspection body are reported and recorded. Note, however, that while expectations for inspector integrity can be communicated by policies and procedures, the existence of such documents may not signal the presence of integrity and impartiality required by this clause.</p>		
<p>6.1.13 Do all personnel of the inspection body including sub-contractors, personnel of external bodies, or individuals acting on the inspection body's behalf keep confidential all information obtained or created during the performance of the inspection activities, except as required by law?</p>		
<p>6.2 Facilities and Equipment</p>		
<p>6.2.1 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>NOTE: 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>ILAC P15: 6.2.1 n1 Equipment required to carry out inspection in a safe manner may include e.g. personal protective equipment and scaffolding.</p>		
<p>6.2.2 Does the inspection body have rules for the access to, and the use of, specified facilities and equipment used to perform inspections?</p>		
<p>6.2.3 Does the inspection body ensure the continued suitability of the facilities and the equipment mentioned in 6.2.1 for their intended use?</p>		

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<p>ILAC P15: 6.2.3 n1 If controlled environmental conditions are needed, e.g. for the correct performance of the inspection, the inspection body shall monitor these and record the results. If conditions were outside acceptable limits for the inspection to be performed, the inspection body shall record what action was taken. See also clause 8.7.4.</p> <p>ILAC P15: 6.2.3 n2 Continued suitability may be established by visual inspection, functional checks and/or re-calibration. This requirement is particularly relevant for equipment that has left the direct control of the inspection body.</p>		
<p>6.2.4 Are all items of equipment having a significant influence on the results of the inspection defined and, where appropriate, uniquely identified?</p>		
<p>ILAC P15: 6.2.4 n1 Inspection bodies should document and retain the rationale for decisions on the significance of influence of equipment on the inspection results as these decisions are critical foundations for subsequent decisions on calibration and traceability.</p> <p>ILAC P15: 6.2.4 n2 In order to enable tracking when items are replaced, the unique identification of an item of equipment may be appropriate even when there is only one item available.</p> <p>ILAC P15: 6.2.4 n3 When controlled environmental conditions are needed, the equipment used to monitor such conditions shall be considered as equipment that significantly influences the result of inspections.</p>		
<p>6.2.5 Are all equipment (see 6.2.4) properly maintained, in accordance with documented procedures and instructions?</p>		
<p>6.2.6 Where appropriate, are measurement equipment having a significant influence on the results of the inspection calibrated:</p> <ul style="list-style-type: none"> • before being put into service and • Thereafter according to an established programme? 		
<p>ILAC P15: 6.2.6 n1 The justification for not calibrating equipment that has a significant influence on the outcome of inspection (see clause 6.2.4) shall be recorded.</p> <p>ILAC P15: 6.2.6 n2 Guidelines on how to determine calibration intervals can be found in ILAC G24.</p>		

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<p>ILAC P15: 6.2.6 n3 When appropriate (normally for the equipment covered by clause 6.2.6) the definition shall include the required accuracy and measurement range.</p> <p>ILAC P15: 6.2.6 n4 Equipment identified under the criteria in clause 6.2.4, as clarified in 6.2.4 n1, must be traceably calibrated to national or international standards where possible. For guidance on measurement traceability, refer to SADCAS TR 09 and SADCAS F 121..</p> <p>ILAC P15: 6.2.6 n5 Where the calibrations are performed in-house, traceability to national standards shall be assured by using reference standards of measurement for which the Inspection Body holds a current calibration certificate or equivalent from a competent body. The certificate or equivalent shall detail an uncertainty of measurement that is appropriate for the equipment that is to be calibrated from the reference standard. For further information on uncertainty of measurement, see ISO/IEC Guide 98. www.iso.org</p>		
<p>6.2.7 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 or accuracy of inspection results.</p>		
<p>ILAC P15: 6.2.7 n1 According to ILAC P10 it is possible to perform in-house calibration of equipment used for measurements. It is a requirement for accreditation bodies to have a policy to ensure that such in-house calibration services are performed in accordance with the relevant criteria for metrological traceability in ISO/IEC 17025. Refer to SADCAS TR 09 and SADCAS F 121.</p> <p>ILAC P15: 6.2.7 n2 The preferred routes for inspection bodies who seek external services for calibration of their equipment are defined in ILAC P10. Refer to SADCAS TR 09 and SADCAS F 121.</p> <p>ILAC P15: 6.2.7 n3 Where traceability to national or international standards of measurement is not applicable, the participation in relevant comparison programs or proficiency tests is an example of how to obtain evidence of correlation or accuracy of inspection results.</p>		
<p>6.2.8 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 international standards?</p>		

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<p>ILAC P15: 6.2.8 n1 When inspection bodies use reference standards of measurement to calibrate working instruments the reference standards of measurement should have a higher degree of accuracy than that required of the working instruments they are used to calibrate.</p>		
<p>6.2.9 Where relevant, are equipment subjected to in-service checks between regular re-calibrations?</p>		
<p>ILAC P15: 6.2.9 n1 Where equipment is subjected to in-service checks between regular re-calibrations, the nature of such checks, the frequency and acceptance criteria shall be defined.</p>		
<p>6.2.10 Are reference materials, where possible, traceable to national or international reference materials, where they exist?</p>		
<p>ILAC P15: 6.2.10 n</p> <p>The information provided in 6.2.7n1, 6.2.7n2, 6.2.7n3 and 6.2.9n1 for programs of calibration of equipment is valid also for programs of calibration of reference materials.</p>		
<p>6.2.11 Where relevant for the outcome of inspection activities, does the inspection body have procedures for:</p> <ul style="list-style-type: none"> a) selection and approval of suppliers; b) verification of incoming goods and services ; c) ensuring appropriate storage facilities? 		
<p>ILAC P15: 6.2.11 n1 When the inspection body engages suppliers to perform activities which do not include the performance of part of the inspection, but which are relevant for the outcome of inspection activities, e.g. order registration, archiving, delivery of auxiliary services during an inspection, the editing of inspection reports or calibration services, such activities are covered by the term "services" used in this clause.</p> <p>ILAC P15: 6.2.11 n2 The verification procedure shall ensure that incoming goods and services are not used until conformance with specification has been verified.</p>		

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<p>6.2.12 Where applicable, is the condition of stored items assessed at appropriate intervals to detect deterioration?</p>		
<p>6.2.13 If the inspection body uses computers or automated equipment in connection with inspections, does it ensure that:</p> <p>a) computer software is adequate for use;</p> <p>NOTE: this can be done by:</p> <ul style="list-style-type: none"> • validation of calculations before use • periodic revalidation of related hardware and software • revalidation whenever changes are made to related hardware or software • software updates implemented as required <p>b) procedures are established and implemented for protecting the integrity and security of data; and</p> <p>c) Computer and automated equipment are maintained in order to ensure proper functioning?</p>		
<p>ILAC P15: 6.2.13 n1 Factors that should be considered in protecting the integrity and security of data include;</p> <ul style="list-style-type: none"> - backup practices and frequencies, - effectiveness in restoring data from backup, - virus protection, and - password protection. 		
<p>6.2.14 Does the inspection body have documented procedures for dealing with defective equipment?</p> <p>Is defective equipment removed from service by segregation, prominent labelling or marking?</p> <p>Does the inspection body examine the effect of defects on?</p> <ul style="list-style-type: none"> • previous inspections and • When necessary, take appropriate corrective action? 		
<p>6.2.15 Is relevant information on the equipment, including software, recorded?</p>		

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Does it include identification, and where appropriate, information on calibration and maintenance?		
6.3 Sub-contracting		
<p>6.3.1 Does 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>NOTE 1 Reasons to subcontract can include the following:</p> <ul style="list-style-type: none"> - an unforeseen or abnormal overload; - key inspection staff members being incapacitated; - key facilities or items of equipment being temporarily unfit for use; - Part of the contract from the client involving inspection not covered by the inspection body's scope or being beyond the capability or resources of the inspection body. <p>NOTE 2 The terms "sub-contracting" and "outsourcing" are considered to be synonyms.</p> <p>NOTE 3 Where the inspection body engages individuals or employees of other organisations 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>ILAC P15: 6.3.1 n1 By definition (ISO/IEC 17011, clause 3.1), accreditation is limited to conformity assessment tasks which the inspection body has demonstrated competence to perform itself. Thus, accreditation cannot be granted for activities referred to in the fourth bullet point under note 1 if the inspection body does not have the required competence and/or resources. However, the task of assessing and interpreting the results of such activities for the purpose of determining conformity may be included in the scope of accreditation, provided adequate competence for this has been demonstrated.</p> <p>ILAC P15: 6.3.1 n2 Inspection activities can overlap with testing and certification activities where these activities have common characteristics (See Introduction of ISO/IEC 17020). For example, examination of a product and testing of the same product can both be the basis for the determination of conformity in an inspection process. It should be noted that ISO/IEC 17020 specifies requirements for bodies performing inspection, whereas the relevant standard to apply for bodies performing testing is ISO/IEC 17025 or ISO 15189.</p>		

REQUIREMENTS	CAB's COMMENTS <i>(Refer to instructions on Pg. 1)</i>	ASSESSOR's COMMENTS
<p>6.3.2 Does the inspection body inform the customer of its intention to sub-contract any part of the inspection?</p>		
<p>6.3.3 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>		
<p>ILAC P15: 6.3.3 n1 In note 2 to the definition of “inspection” in clause 3.1 it is indicated that in some cases inspection may be examination only, without a subsequent determination of conformity. In such cases clause 6.3.3 does not apply since there is no determination of conformity.</p>		
<p>6.3.4 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>ILAC P15: 6.3.4 n1 Accreditation is the preferred means to demonstrate the competence of the subcontractor, but in justified situations (on the basis of qualified evaluation/professional judgement) results from non-accredited bodies could be accepted.</p> <p>ILAC P15: 6.3.4 n2 If the evaluation of the competence of the subcontractor is based partly or in full on its accreditation, the inspection body shall ensure that the scope of the subcontractor's accreditation covers the activities to be sub-contracted.</p>		
<p>7 Process Requirements</p> <p>7.1 Inspection Methods and Procedures</p>		
<p>7.1.1 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>		

REQUIREMENTS	CAB's COMMENTS <i>(Refer to instructions on Pg. 1)</i>	ASSESSOR's COMMENTS
<p>NOTE 1 The requirements against which the inspection is performed are normally specified in regulations, standards or specifications, inspection schemes or contracts. Specifications may include customer or in-house requirements.</p>		
<p>ILAC P15: 7.1.1 n1 If the inspection includes measurements, ILAC G27 provides guidance on how to determine which requirements may be relevant.</p> <p>ILAC P15: 7.1.1 n2 For the development of specific inspection methods and procedures the guidance in ISO/IEC 17007 can be used.</p> <p>ILAC P15: 7.1.1 n3 Many inspection methods use the human eye to perform visual inspections. Increasingly new technology (e.g. drones, cameras, special glasses, IT, artificial intelligence, etc.) is introduced to be used during inspections. This could be as a (partly) replacement of an existing inspection method (like the human eye) or as a new inspection method.</p>		
<p>7.1.2 Does 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 jeopardise the effectiveness of the inspection process?</p> <p>Where applicable, does 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>7.1.3 When the inspection body has to use inspection methods or procedures which are non-standard, are such methods and procedures appropriate and fully documented?</p> <p>NOTE A standard inspection method is one that has been published, for example, in international, regional, or national standards or by reputable technical organisations or by co-operation 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>ILAC P15: 7.1.3 n1 Aspects that require attention with the introduction of new technology are:</p> <ul style="list-style-type: none"> - Validation of the new or changed inspection method using new technology. In case of (partly) replacement of an existing inspection method, it should be investigated whether the inspection outcome is equally (or more) reliable than the outcome of the existing method; - The applicable legal and safety requirements (like permits), legal limitations and legal conditions; - The applicable limitations and conditions for the inspection method when new technology is used; 		

REQUIREMENTS	CAB's COMMENTS <i>(Refer to instructions on Pg. 1)</i>	ASSESSOR's COMMENTS
<ul style="list-style-type: none"> - Whether the use of new technology should be mentioned in the inspection report; - Whether the use of new technology should be mentioned on the inspection and/or accreditation scope. 		
<p>7.1.4 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 readily available to the personnel?</p>		
<p>7.1.5 Does the inspection body have a contract or work order control system which ensures that:</p> <ul style="list-style-type: none"> a) work to be undertaken is within its expertise and that the organisation has adequate resources to meet the requirements; <p>NOTE Resources can include but are not limited to facilities, equipment, reference documentation, procedures, or human resources.</p> <ul style="list-style-type: none"> 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; c) work being undertaken is controlled by regular review and corrective action; d) The requirements of the contract or work order have been met? 		
<p>ILAC P15: 7.1.5 n1 Where appropriate the contract or work order control system shall also ensure that;</p> <ul style="list-style-type: none"> - contract conditions are agreed - personnel competence is adequate - any statutory requirements are identified - safety requirements are identified - the extent of any subcontracting arrangements required is identified <p>For routine or repeat work requests the review may be limited to considerations of time and human resources. An acceptable record in such cases would be an acceptance of the contract signed by an appropriately authorised person.</p>		

REQUIREMENTS	CAB's COMMENTS <i>(Refer to instructions on Pg. 1)</i>	ASSESSOR's COMMENTS
<p>ILAC P15: 7.1.5 n2 In situations where verbal work orders are acceptable, the inspection body shall keep a record of all requests and instructions received verbally. Where appropriate, the relevant dates and the identity of the client's representative should be recorded.</p> <p>ILAC P15: 7.1.5 n3 The contract or work order control system should ensure that there is a clear and demonstrable understanding between the inspection body and its client of the scope of the inspection work to be undertaken by the inspection body.</p>		
<p>7.1.6 When the inspection body uses information supplied by any other parties as part of the inspection process, does it verify the integrity of such information?</p>		
<p>ILAC P15: 7.1.6 n1 The information referred to in this clause is not information provided by a sub-contractor, but information received from other parties, e.g. a regulating authority or the client of the inspection body. The information may include background data for the inspection activity, but not results of the inspection activity.</p>		No change.
<p>7.1.7 Are observations or data obtained in the course of inspections recorded in a timely manner to prevent loss of relevant information?</p>		
<p>7.1.8 Are calculations and data transfers subject to appropriate checks?</p> <p>NOTE: 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>7.1.9 Does the inspection body have documented instructions for carrying out inspection in a safe manner?</p>		
<p>7.2 Handling Inspection Items and Samples</p>		
<p>7.2.1 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>7.2.2 Does the inspection body establish whether the item to be inspected has been prepared?</p>		

REQUIREMENTS	CAB's COMMENTS <i>(Refer to instructions on Pg. 1)</i>	ASSESSOR's COMMENTS
<p>7.2.3 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>7.2.4 Does the inspection body have documented procedures and appropriate facilities to avoid deterioration or damage to inspection items while under its responsibility?</p>		
<p>7.3 Inspection Records</p>		
<p>7.3.1 Does the inspection body maintain a record system (see 8.4) to demonstrate the effective fulfilment of the inspection procedures and enable an evaluation of the inspection?</p>		
<p>ILAC P15: 7.3.1 n1 The records should indicate which particular item of equipment, having a significant influence on the result of the inspection, has been used for each inspection activity.</p> <p>ILAC P15: 7.3.1 n2 The Inspection Body shall retain records of original observations, derived data and sufficient information to establish an audit trail, calibration records, staff records and a copy of each inspection report or inspection certificate issued, for a minimum period of ten (10) years.</p>		
<p>7.3.2 Are the inspection reports or certificates internally traceable to the inspector(s) who performed the inspection?</p>		
<p>7.4 Inspection Reports and Inspection Certificates</p>		
<p>7.4.1 Is the work carried out by the inspection body covered by a retrievable inspection report or inspection certificate?</p> <p>R 04 paragraph 6.4.4 requires: When an accredited CAB issues reports incorporating a SADCAS accreditation symbol or reference to SADCAS accreditation and containing opinions, interpretations, or other material relating to investigational activities, the following disclaimer shall be incorporated: <i>“Opinions and interpretations expressed herein are outside the scope of SADCAS accreditation”.</i></p>		

REQUIREMENTS	CAB's COMMENTS <i>(Refer to instructions on Pg. 1)</i>	ASSESSOR's COMMENTS
<p>7.4.2 Does the inspection report / certificate include all of the following?</p> <ul style="list-style-type: none"> a) identification of the issuing body; b) unique identification and date of issue; c) date(s) of inspection; d) identification of the item(s) inspected; e) signature or other indication of approval, by authorised personnel; f) a statement of conformity where applicable; and g) the inspection results except where detailed in accordance with clause 7.4.3. <p>NOTE: Optional elements which can be included in inspection reports or certificates are provided in Annex B (informative).</p>		
<p>ILAC P15: 7.4.2 n1 ILAC P8 provides requirements for the use of accreditation symbols and for claims of Accreditation status.</p>		
<p>R 03: Nominated Representative and Signatories: Responsibilities, Qualifications and Approval</p>		
<p>R 04: Use of Accreditation Logo</p> <p>Does the inspection body use the SADCAS symbol correctly?</p>		
<p>7.4.3 Does the inspection body only issue an inspection certificate that does not include the inspection results (7.4.2 g) when 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	CAB's COMMENTS <i>(Refer to instructions on Pg. 1)</i>	ASSESSOR's COMMENTS
<p>7.4.4 Is 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>ILAC P15: 7.4.4 n1 It may be useful to identify the inspection method in the inspection report/certificate when this information supports an appropriate interpretation of the inspection results.</p>		
<p>7.4.5 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 replaces?</p>		
<p>7.5 Complaints and Appeals</p>		
<p>7.5.1 Does the inspection body have a documented process to receive, evaluate and make decisions on complaints and appeals?</p>		
<p>7.5.2 Is a description of the handling process for complaints and appeals available to any interested party on request?</p>		
<p>7.5.3 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>7.5.4 Is the inspection body responsible for all decisions at all levels of the handling process for complaints and appeals?</p>		
<p>7.5.5 Does investigation and decision on appeals result in any discriminatory actions?</p>		

REQUIREMENTS	CAB's COMMENTS <i>(Refer to instructions on Pg. 1)</i>	ASSESSOR's COMMENTS
7.6 Complaints and Appeals Procedure		
<p>7.6.1 Does the handling process for complaints and appeals include at least the following elements and methods:</p> <ul style="list-style-type: none"> 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; b) tracking and recording complaints and appeals, including actions undertaken to resolve them; c) ensuring that any appropriate action is taken? 		
<p>7.6.2 Is the inspection body receiving the complaint or appeal responsible for gathering and verifying all necessary information to validate the complaint or appeal?</p>		
<p>7.6.3 Whenever possible, does the inspection body acknowledge receipt of the complaint or appeal, and provide the complainant or appellant with progress reports and the outcome?</p>		
<p>7.6.4 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>7.6.5 Whenever possible, does the inspection body give formal notice of the end of the complaint and appeals handling process to the complainant or appellant?</p>		
8 Management System Requirements for Inspection Bodies		
8.1 General		
<p>8.1.1</p> <p>It is the responsibility of the Inspection Body to select, define and maintain a management system based on Option A or Option B. SADCAS shall assess the appropriateness of the management system defined in accordance with the requirements of ISO/IEC 17020 and not the requirements of ISO 9001.</p>		

REQUIREMENTS	CAB's COMMENTS <i>(Refer to instructions on Pg. 1)</i>	ASSESSOR's COMMENTS
<p>ILAC P15: 8.1.1 n1 It is the responsibility of the inspection body to select, define and maintain a management system based on Option A or Option B. SADCAS shall assess the appropriateness of the management system defined.</p>		
<p>8.1.2 Option A - The management system of the body shall address the following:</p> <ul style="list-style-type: none"> • General management system documentation (e.g., manual, policies, definition of responsibilities – 8.2); • Control of documents (8.3); • Control of records (8.4); • Management review (8.5); • Internal audit (8.6); • Corrective actions (8.7); • Preventive actions (8.8); • Complaints and appeals (see 7.5 and 7.6). 		
<p>8.1.3 Option B – Does 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 fulfilment of the requirements of this International Standard fulfil the management system section (Section 8) requirements?</p>		
<p>ILAC P15: 8.1.3 n1 The expression “this International Standard” is a reference to ISO/IEC 17020.</p> <p>ILAC P15: 8.1.3 n2 Option B does not require that the inspection body's management is certified to ISO 9001. However, when determining the extent of required assessment, the accreditation body should take into consideration whether the inspection body has been certified against ISO 9001 by a certification body accredited by an accreditation body which is a signatory to the IAF MLA, or to a regional MLA, for the certification of management systems.</p>		
<p>8.2 General Management System Documentation (Option A)</p>		
<p>8.2.1 Did the inspection body's top management establish, document, and maintain policies and objectives for fulfilment of this International Standard and do they ensure the policies and objectives are acknowledged and implemented at all levels of the inspection body's organisation?</p>		

REQUIREMENTS	CAB's COMMENTS <i>(Refer to instructions on Pg. 1)</i>	ASSESSOR's COMMENTS
<p>ILAC P15: 8.2.1 n1 The policies and objectives shall address the competence, impartiality, and consistent operation of the inspection body.</p> <p>ILAC P15: 8.2.1 n2 Policy statements are intended to demonstrate senior management commitment to the quality system. Objectives shall include measurable targets, which are reviewed at least annually. Policies and objectives shall be reviewed at management review, see clause 8.5. Training records shall show that all staff is familiar with the quality system.</p>		
<p>F 44 Accreditation Agreement. Is the inspection body and its personnel familiar with the terms and conditions of accreditation?</p>		
<p>8.2.2 Does the top management provide evidence of its commitment to the development and implementation of the management system and its effectiveness in achieving consistent fulfilment of this International Standard?</p>		
<p>8.2.3 Does the inspection body's top management appoint a member of management who, irrespective of other responsibilities, has responsibility and authority that include:</p> <ul style="list-style-type: none"> a) ensuring that processes and procedures needed for the management system are established, implemented, and maintained, and b) reporting to top management on the performance of the management system and any need for improvement? 		
<p>ILAC P15: 8.2.3 n1 In cases where an Inspection Body has a number of offices at different locations, responsibility for the practical maintenance of the management system in each office should be assigned to a named, local, and individual.</p>		
<p>8.2.4 Are all documentation, processes, systems, records, etc. related to the fulfilment of the requirements of this International Standard included, referenced, or linked to documentation of the management system?</p>		
<p>ILAC P15: 8.2.4 n1 For easy reference, it is recommended that the inspection body indicates where the requirements of ISO/IEC 17020 are addressed, e.g., by means of a cross reference table.</p>		

REQUIREMENTS	CAB's COMMENTS (Refer to instructions on Pg. 1)	ASSESSOR's COMMENTS
<p>8.2.5 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>8.3 Control of Documents (Option A)</p>		
<p>8.3.1 Did the inspection body establish procedures to control the documents (internal and external) that relate to the fulfilment of this International Standard.?</p>		
<p>8.3.2 Do the procedures define the controls needed to:</p> <ul style="list-style-type: none"> a) approve documents for adequacy prior to issue; b) review and update as necessary and re-approve documents; c) ensure that changes and the current revision status of documents are identified; d) ensure that relevant versions of applicable documents are available at points of use; e) ensure that documents remain legible and readily identifiable; f) ensure that documents of external origin are identified, and their distribution controlled; and g) prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose. <p>NOTE Documentation can be in any form or type of medium and includes proprietary and in-house developed software.</p>		
<p>8.4 Control of Records (Option A)</p>		
<p>8.4.1 Does 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 fulfilment of this International Standard?</p>		
<p>ILAC P15: 8.4.1 n1 This requirement means that all records needed to demonstrate compliance with the requirements of the standard shall be established and retained.</p> <p>ILAC P15: 8.4.1 n2 In cases where electronic seals or authorizations are used for approvals, access to the electronic media or seal should be secure and controlled.</p>		
<p>8.4.2 Does the inspection body establish procedures for retaining records for a period consistent with its contractual and legal obligations?</p>		

REQUIREMENTS	CAB's COMMENTS <i>(Refer to instructions on Pg. 1)</i>	ASSESSOR's COMMENTS
Is access to these records consistent with the confidentiality arrangements?		
8.5 Management Review (Option A) 8.5.1 General		
8.5.1.1 Does 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 fulfilment of this international standard?		
8.5.1.2 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 time frame?		
8.5.1.3 Are records of reviews maintained?		
8.5.2 Review Inputs		
Does the input to the management review include information related to? a) results of internal and external audits; b) feedback from customers and interested parties related to the fulfilment of this International Standard; c) the status of preventive and corrective actions; d) follow-up actions from previous management reviews; e) the fulfilment of objectives; f) changes that could affect the management system; and		

REQUIREMENTS	CAB's COMMENTS <i>(Refer to instructions on Pg. 1)</i>	ASSESSOR's COMMENTS
g) appeals and complaints?		
<p>ILAC P15: 8.5.2 n1 A review of the impartiality risk identification process and its conclusions (clauses 4.1.3/4.1.4) shall be part of the annual management review.</p> <p>ILAC P15: 8.5.2 n2 The management review shall take into account information on the adequacy of current human and equipment resources, projected workloads, and the need for training of both new and existing staff.</p> <p>ILAC P15: 8.5.2 n3 The management review shall include a review of the effectiveness of systems established to ensure adequate competence of the personnel.</p>		
8.5.3 Review Outputs		
<p>Do the outputs from the management review include decisions and actions related to?</p> <p>a) improvement of the effectiveness of the management system and its processes;</p> <p>b) improvement of the inspection body related to the fulfilment of this International Standard; and</p> <p>c) resource needs.</p>		
8.6 Internal Audits (Option A)		
<p>8.6.1 Did the inspection body establish procedures for internal audits to verify that it fulfils the requirements of this International Standard and that the management system is effectively implemented and maintained?</p> <p>NOTE: ISO 19011 provides guidelines for conducting internal audits.</p>		
<p>ILAC P15: 8.6.1 n1 Inspection Bodies with more than one operational site shall ensure that internal audits are conducted at all sites on an annual basis and that all 17020 clauses are covered at all sites over the accreditation cycle.</p>		
<p>8.6.2 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	CAB's COMMENTS <i>(Refer to instructions on Pg. 1)</i>	ASSESSOR's COMMENTS
<p>8.6.3 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>8.6.4 Are Internal audits performed at least once every 12 months.</p> <p>The frequency of internal audits may be adjusted depending on the demonstrable effectiveness of the management system and its proven stability.</p>		
<p>ILAC P15: 8.6.4 n1 The inspection body shall ensure that all requirements of ISO/IEC 17020 are covered by the internal audit program within the accreditation cycle. The requirements to be covered shall be considered for all fields of inspection and for all premises where key activities are performed.</p> <p>The inspection body shall justify the choice of audit frequency for different types of requirements, fields of inspection and premises where key activities are performed.</p> <p>The justification may be based on considerations such as;</p> <ul style="list-style-type: none"> - criticality, - maturity, - previous performance, - organisational changes, - procedural changes, and - efficiency of the system for transfer of experience between different operational sites and between different fields of operation. <p>ILAC P15: 8.6.4 n2 The internal audit is an essential tool the inspection body should apply with a frequency short enough to monitor its capacity to consistently fulfil the requirements in ISO/IEC 17020. When an inspection body detects problems that affect the fulfilment of any ISO/IEC 17020 requirement (e.g. a rise in complaints and appeals; unsatisfactory results at external audits; issues with personnel qualification, etc.), it should consider increasing the frequency and depth of its internal audits, and/or to extend their coverage to include other locations and fields of inspection.</p>		
<p>8.6.5 Does the inspection body ensure that?</p>		

REQUIREMENTS	CAB's COMMENTS <i>(Refer to instructions on Pg. 1)</i>	ASSESSOR's COMMENTS
a) internal audits are conducted by qualified personnel knowledgeable in inspection, auditing, and the requirements of this International Standard; b) auditors do not audit their own work; c) personnel responsible for the area audited are informed of the outcome of the audit; d) any actions resulting from internal audits are taken in a timely and appropriate manner; e) any opportunities for improvement are identified; and f) The results of the audit are documented?		
ILAC P15: 8.6.5 n1 Competent externally contracted personnel may carry out internal audits.		
8.7 Corrective Actions (Option A)		
8.7.1 Did the inspection body establish procedures for identification and management of non-conformities in its operations?		
8.7.2 Does the inspection body also, where necessary, take actions to eliminate the causes of non-conformities in order to prevent recurrence?		
8.7.3 Are corrective actions appropriate to the impact of the problems encountered?		
8.7.4 Do the procedures define requirements for: <ul style="list-style-type: none"> a) identifying non-conformities; b) determining the causes of non-conformity; c) correcting non-conformities; d) evaluating the need for actions to ensure that non-conformities do not recur; 		

REQUIREMENTS	CAB's COMMENTS <i>(Refer to instructions on Pg. 1)</i>	ASSESSOR's COMMENTS
e) determining and implementing in a timely manner, the actions needed; f) recording the results of actions taken; and g) reviewing the effectiveness of corrective actions?		
8.8 Preventive Actions (Option A)		
8.8.1 Did the inspection body establish procedures for taking preventive actions to eliminate the causes of potential non-conformities?		
ILAC P15: 8.8.1 n1a Preventive actions are taken in a pro-active process of identifying potential non-conformities and opportunities for improvement rather than as a reaction to the identification of non-conformities, problems, or complaints.		
8.8.2 Are preventive actions taken appropriate to the probable impact of the potential problems?		
8.8.3 Do the procedures for preventive actions define requirements for: <ul style="list-style-type: none"> a) identifying potential non-conformities and their causes; b) evaluating the need for action to prevent the occurrence of non-conformities; c) determining and implementing the action needed; d) recording the results of actions taken; and e) reviewing the effectiveness of the preventive actions taken. NOTE: The procedures for corrective and preventive actions do not necessarily have to be separate.		

REQUIREMENTS	CAB's COMMENTS <i>(Refer to instructions on Pg. 1)</i>	ASSESSOR's COMMENTS
<p>Additional /General Comments (This space may be used to expand on comments in specific sections)</p>		

Review of additional documents. Comment on adequacy

<p>Additional /General Comments (This space may be used for General Comments in the case of Document Review)</p>

Below are some examples of general comments for different situations encountered. Follow your instincts and use these general comments to highlight areas you feel may require specific attention.

Example 1:

This could be where you notice from the application form or date on documents that the system has only been documented/implemented for a short period of time. Or where it is clear that there is no clear direction given in the documentation, no "hows" described.

Please note that for the initial assessment sufficient records generated by the system must be available to demonstrate implementation of the system to give confidence that the CAB can consistently operate in accordance with the relevant requirements.

Example 2:

Quality documentation is meant to be of benefit to a CAB. The Policies set by management give the overall direction of the CAB. The Objectives are always in line with the policies, usually measurable by some means, more specific to areas and may change. The Procedures are the instruction manual defining how the CAB operates to enable it to achieve the set objectives and thus continue moving in the planned direction as defined by the policies.

Example 3:

Although the documentation submitted appeared to be written in accordance with the Standard, there was very little direction given to the user thereof. Statements of fact were generally made but detail on how the CAB was to achieve these requirements was lacking.

Example 4:

The specific notes made during the evaluation are not necessarily non-compliances, but sometimes areas of lack of clarity that could become obvious during the on-site assessment.

Example 5:

The documentation submitted was deemed to be assessable and appeared to be in general compliance with the requirements of ISO/IEC 17020. Whether the CAB's actual operational procedures are reflected in the Quality documentation can only be determined on-site at the initial assessment.

Example 6:

Use of terms that are open to interpretation, such as "where appropriate" and "if possible", are not suitable as they do not give clear direction to the user to ensure consistency within the CAB.

Be wary of stating that the manual is excellent / in full compliance with the standard as this may cause problems when the site visit reveals weaknesses overlooked during the doc review.

RECOMMENDATION (Document Review)

Example 1:

The deviations listed should be incorporated into the quality manual, after which an initial assessment of the CAB may be arranged.

Example 2:

The manual requires revision and re-submission for evaluation, after which an initial assessment of the CAB may be arranged.

Example 3:

The deviations listed require a submission of additional documents or information to conclude the Document review process after which an Initial assessment may be arranged.

NOTE: Where the recommendation is not to proceed with further assessment, this must be clearly justified.

NOTE 2: If there is evidence of fraudulent behaviour, if the CAB intentionally provides false information or if the CAB conceals information, please contact the Accreditation Manager immediately to reject the application or terminate the assessment process.

Signed : Team Leader /Technical Assessor		Date	
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