**For IQAS uses only**

I am undersign, review all IB documents and compare it with ISO/IEC 17020:2012

Any NCR explain clearly in the NCR's report

* Document receiving date:
* End review date:
* Assessor name:
* Signature:

This checklist is depend on the ISO/IEC 17020:2012 (Conformity assessment — Requirements for the operation of various types of bodies performing inspection), for any question in this checklist corresponding paragraphs from the ISO/IEC 17020:2012.

* Instructions for IB
* This checklist contains five columns the 1st & 2nd question & paragraphs in IB documents respectively and these two columns fill by the IB.
* The 3rd, 4th & 5th used by IQAS for documents review procedure.
* This checklist considers part for the assessment and helps the assessor to minimized time when IB do it.
* Applicant information
* Name:
* Occupation:
* Signature:
* Date:

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| **IB Uses** | **IQAS Uses** |
| **Apply with the Requirements** | **Apply with the Requirements** |
| **Questions** | **Paragraph in IB Documents** | **yes** | **no** | **N/A** | **Remarks** |
| ***4.1 Impartiality and independence*****4.1.1 Inspection activities shall be undertaken impartially.** |  |  |  |  |  |
| **4.1.2 Responsible for impartiality of inspection activities. Commercial, financial or other pressures not to compromise impartiality.** |  |  |  |  |  |
| **4.1.3 Identify risks to its impartiality on an ongoing basis. Consider activities, relationships.** |  |  |  |  |  |
| **4.1.4 If a risk to impartiality is identified, demonstrate how eliminated / minimized.**  |  |  |  |  |  |
| **4.1.5 Top management commitment to impartiality.**  |  |  |  |  |  |
| **4.1.6 Independent to the extent needed** |  |  |  |  |  |
| **4.1.6.a Type A requirements Clause A.1****Fully independent of all involvement****Consider:*** **Internal structures**
* **Consider design, manufacture, supply, installation, purchase, ownership, use or maintenance of inspected items.**
* **Ownership and management**
* **Linked companies**
 |  |  |  |  |  |
| **4.1.6.b - type B & 4.1.6.c – not relevant to LA NB’s** |  |  |  |  |  |

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| ***4.2 Confidentiality**** **4.2.1 responsible, through legally enforceable commitments, for the management of information obtained or created.**
* **Inform client, in advance, of information open to public.**
* **Generally information is proprietary and confidential.**
 |  |  |  |  |  |
| **4.2.2 Client notified of the information made public.** |  |  |  |  |  |
| **4.2.3 Information about the client obtained from other sources also confidential.** |  |  |  |  |  |
| ***5 Structural requirements******5.1 Administrative requirements*****5.1.1 Legal entity can be held legally responsible for inspection activities.** |  |  |  |  |  |
| **5.1.2 If part of a legal entity involved in activities other than inspection then identifiable within that entity.** |  |  |  |  |  |
| **5.1.3 Documentation outlining competence.** |  |  |  |  |  |
| **5.1.4 Adequate provision (e.g. insurance or reserves) to cover liabilities.** |  |  |  |  |  |
| **5.1.5 Documentation describing the contractual conditions for service, except for services to parent entity.**  |  |  |  |  |  |

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| ***5.2 Organization and Management*****5.2.1 Structured, managed to safeguard impartiality.** |  |  |  |  |  |
| **5.2.2 Organized, managed to maintain inspection capability.** |  |  |  |  |  |
| **5.2.3 Define and document the responsibilities and reporting structure.** |  |  |  |  |  |
| **5.2.4 Relationships within broader legal entity.** |  |  |  |  |  |
| **5.2.5 Technical manager(s), responsible for inspection activities. Technical manager available, competent and experienced.** |  |  |  |  |  |
| **5.2.6 Deputies for technical manager.** |  |  |  |  |  |
| **5.2.7 “Job description” for each position involved in inspection activities.** |  |  |  |  |  |
| ***6 Resource requirements******6.1 Personnel*****6.1.1 Competence requirements for****all personnel involved in****inspection activities:*** **Education,**
* **Training,**
* **Technical Knowledge,**
* **Skills,**
* **Experience.**
 |  |  |  |  |  |
| **6.1.2 Sufficient number of competent persons, for type, range and volume of work** |  |  |  |  |  |

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| **6.1.3 The personnel:*** **Qualifications,**
* **Training,**
* **Experience, and**
* **Satisfactory knowledge.**

**Relevant knowledge of:*** **Technology, processes,**
* **Delivery of services,**
* **Use of products,**
* **Operation of processes,**
* **Delivery of services,**
* **Defects, failures and deficiencies, and**
* **Significance of deviations.**
 |  |  |  |  |  |
| **6.1.4 Duties, responsibilities and authorities clear to each person** |  |  |  |  |  |
| **6.1.5 Documented procedures for*** **Selecting,**
* **Training,**
* **Formally authorizing, And**
* **Monitoring Inspectors And Personnel Involved In Inspection Activities.**
 |  |  |  |  |  |
| **6.1.6 Procedures cover:****a) an induction period;****b) a mentored working period;****c) Continuing training.** |  |  |  |  |  |
| **6.1.7 The training requirements consider ability, qualifications and experience of each person and the results of monitoring (see 6.1.8).** |  |  |  |  |  |

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| **6.1.8 Monitoring****monitors familiar with the inspection methods and procedures, for satisfactory performance, results of monitoring shall be used as a means of identify training needs****(6.1.7).** |  |  |  |  |  |
| **6.1.9 Each inspector shall be observed on-site unless there is sufficient supporting evidence that the inspector is continuing to perform competently** |  |  |  |  |  |
| **6.1.10 records of*** **Monitoring,**
* **Education,**
* **Training,**
* **Technical knowledge,**
* **Skills,**
* **Experience and**
* **Authorization of each person in inspection activities.**
 |  |  |  |  |  |
| **6.1.11 Remuneration not to influence the results of inspections** |  |  |  |  |  |
| **6.1.12 All personnel (internal and external) shall act impartially.** |  |  |  |  |  |
| **6.1.13 All personnel (internal and external) shall maintain confidentiality** |  |  |  |  |  |

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| **Questions** | **Paragraph in IB Documents** | **yes** | **no** | **N/A** | **Remarks** |
| ***6.2 Facilities and equipment*****6.2.1 Available, suitable and adequate facilities and equipment** |  |  |  |  |  |
| **6.2.2 Rules for the access to, and the use of, specified facilities and equipment used to perform inspections.** |  |  |  |  |  |
| **6.2.3 Ensure the continued suitability of the facilities and the equipment mentioned in 6.2.1 for their intended use.** |  |  |  |  |  |
| **6.2.4 All equipment having a significant influence on the results of the inspection shall be defined and, where appropriate, uniquely identified.** |  |  |  |  |  |
| **6.2.5 All equipment (see 6.2.4) shall be maintained using documented procedures and instructions.** |  |  |  |  |  |
| **6.2.6 Where appropriate, measurement equipment having a significant influence on the results of the inspection shall be calibrated before use, and then according to a program.** |  |  |  |  |  |
| **6.2.7 Calibration of equipment so that measurements are traceable to national or international standards of measurement, where available.** |  |  |  |  |  |
| **6.2.8 Reference standards of measurement held by the inspection body shall be used for calibration only** |  |  |  |  |  |
| **6.2.9 Where relevant, equipment gets in-service checks.** |  |  |  |  |  |

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| **Questions** | **Paragraph in IB Documents** | **yes** | **no** | **N/A** | **Remarks** |
| **6.2.10 Reference materials traceable to national /international reference materials.** |  |  |  |  |  |
| **6.2.11 Where relevant, procedures for****a) selection and approval of suppliers;****b) verification of incoming items;****c) Appropriate storage facilities.** |  |  |  |  |  |
| **6.2.12 Where applicable, the condition of stored items shall be assessed at appropriate intervals to detect deterioration.** |  |  |  |  |  |
| **6.2.13 Computers or automated equipment :****a) software is adequate for use;****b) procedures for protecting the integrity and security of data;****c) Equipment is maintained in order to ensure proper functioning.** |  |  |  |  |  |
| **6.2.14 Procedures for dealing with defective equipment.*** **Removed from service by segregation, labeling or marking.**
* **Consider effects on previous inspections.**
 |  |  |  |  |  |
| **6.2.15 Equipment and software records.*** **identification**
* **Information on calibration information on maintenance.**
 |  |  |  |  |  |

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| **Questions** | **Paragraph in IB Documents** | **yes** | **no** | **N/A** | **Remarks** |
| ***6.3 Subcontracting*****6.3.1 The inspection body shall itself normally perform the contracted inspections.****Demonstrate subcontractor competent, complies with relevant standards.****Subcontractors do not operate under the NB management system. (see 6.1.2)** |  |  |  |  |  |
| **6.3.2 Client informed of subcontracting** |  |  |  |  |  |
| **6.3.3 Responsibility for any determination of conformity remains with the inspection body.** |  |  |  |  |  |
| **6.3.4 Records of investigation of the competence of subcontractors and of their conformity with relevant conformity assessment standards.****Register of all subcontractors.** |  |  |  |  |  |

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| **Questions** | **Paragraph in IB Documents** | **yes** | **no** | **N/A** | **Remarks** |
| ***7 Process requirements******7.1 Inspection methods and procedures*****7.1.1 Uses methods and procedures of the requirements.****Where these are not defined, the inspection body shall develop specific methods and procedures to be used (see 7.1.3).****Inform client if proposed method is considered inappropriate.** |  |  |  |  |  |
| **7.1.2 Have and use adequate documented instructions on*** **Inspection planning**
* **Sampling and**
* **Inspection techniques, where needed for effective inspection.**

**Sufficient knowledge of statistical techniques supporting:*** **Sound sampling procedures,**
* **Correct data processing,**
* **Interpretation of results.**
 |  |  |  |  |  |
| **7.1.3 Non-standard methods appropriate and fully documented.** |  |  |  |  |  |
| **7.1.4 All instructions, standards or written procedures, worksheets, check lists and reference data needed shall be maintained up-to-date and available.** |  |  |  |  |  |

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| **Questions** | **Paragraph in IB Documents** | **yes** | **no** | **N/A** | **Remarks** |
| **7.1.5 The inspection body shall have a contract or work order****control system which ensures that:****a) Work is within its expertise and that the organization has adequate resources to meet the requirements;****b) The requirements adequately defined special conditions are understood,****allowing unambiguous instructions;****c) Work is controlled by regular review and corrective action;****d) The requirements of the contract or work order have been met.** |  |  |  |  |  |
| **7.1.6 Integrity of information supplied by any other party as part of the inspection process shall be verified.** |  |  |  |  |  |
| **7.1.7 Observations recorded in a timely manner to prevent information loss.** |  |  |  |  |  |
| **7.1.8 Calculations and data transfer checks.** |  |  |  |  |  |
| **7.1.9 The inspection body shall have documented instructions for carrying out inspection in a safe manner.** |  |  |  |  |  |

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| **Questions** | **Paragraph in IB Documents** | **yes** | **no** | **N/A** | **Remarks** |
| ***7.2 Handling inspection items and samples*****7.2.1 Items and samples to be inspected are uniquely identified in order to avoid****confusion regarding identity** |  |  |  |  |  |
| **7.2.2 Establish whether the item to be inspected has been prepared.** |  |  |  |  |  |
| **7.2.3 Abnormalities recorded.****If item doubtful or not as described, client contacted** |  |  |  |  |  |
| **7.2.4 Procedures and facilities to avoid deterioration or damage to items** |  |  |  |  |  |
| ***7.3 Inspection records*****7.3.1 The inspection body shall maintain a record system (see 8.4) to demonstrate the effective fulfillment of the inspection procedures and enable an evaluation of the inspection.** |  |  |  |  |  |
| **7.3.2 The inspection report or certificate shall be internally traceable to the inspector(s) who performed the inspection.** |  |  |  |  |  |

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| **Questions** | **Paragraph in IB Documents** | **yes** | **no** | **N/A** | **Remarks** |
| ***7.4 Inspection reports and inspection certificates*****7.4.1 The work carried out by the inspection body shall be covered by a retrievable inspection report or inspection certificate.** |  |  |  |  |  |
| **7.4.2 Any inspection report/certificate shall include all of the following:** **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 authorized personnel;** **f) a statement of conformity where applicable;** **g) The inspection results, except where detailed in accordance with 7.4.3.** |  |  |  |  |  |
| **7.4.3 Certificates without results [see 7.4.2g)] only if can produce report with results, and certificate and report cross-refer** |  |  |  |  |  |
| **7.4.4 Reports are:*** **Correct,**
* **Accurate,**
* **Clear,**
* **Subcontractor's results identified.**
 |  |  |  |  |  |
| **7.4.5 Corrections or additions to an inspection report or inspection certificate after issue shall be recorded.****Amended document identify the replaced document.** |  |  |  |  |  |

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| **Questions** | **Paragraph in IB Documents** | **yes** | **no** | **N/A** | **Remarks** |
| ***7.5 Complaints and appeals*** **7.5.1 Documented process for Complaints and appeals*** **receive**
* **evaluate**
* **decide**
 |  |  |  |  |  |
| **7.5.2 Complaints and appeals process available on request.** |  |  |  |  |  |
| **7.5.3 On receipt confirm relevant and, if so, dealt with.** |  |  |  |  |  |
| **7.5.4 Responsible for all decisions at all levels of handling complaints and appeals.** |  |  |  |  |  |
| **7.5.5 Investigation and decision not result in any discriminatory actions.** |  |  |  |  |  |
| ***7.6 Complaints and appeals process*****7.6.1 a) Complaints and appeals process:*** **receiving,**
* **validating,**
* **investigating the complaint or appeal, and**
* **deciding response;**
 |  |  |  |  |  |
| **7.6.1 b) tracking and recording Complaints and appeals , and actions to resolve same;** |  |  |  |  |  |
| **7.6.1 c) ensuring appropriate action taken.** |  |  |  |  |  |
| **7.6.2 responsible for gathering verifying information to validate the complaint or appeal.** |  |  |  |  |  |
| **7.6.3*** **Acknowledge Receipt Of The Complaints and appeals**
* **Provide Progress Reports and**
* **Outcome.**
 |  |  |  |  |  |

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| **Questions** | **Paragraph in IB Documents** | **yes** | **no** | **N/A** | **Remarks** |
| ***8 Management system Requirements******8.1 Option*****8.1.1 management system in accordance with Option A** |  |  |  |  |  |
| **8.1.2 Option A – Drawing from the****Standard:****- System documentation (see 8.2);****- Control of documents (see 8.3);****- Control of records (see 8.4);****- Management review (see 8.5);****- Internal audit (see 8.6);****- Corrective actions (see 8.7);****- Preventive actions (see 8.8);****- Complaints and appeals (see 7.5, 7.6).** |  |  |  |  |  |
| **8.1.3 Option B –ISO 9001 Quality****Management System (QMS) relevant to IB is in place.** |  |  |  |  |  |
| ***8.2 Management system documentation (Option A)*****8.2.1 Policies and objectives established acknowledged and implemented at all levels of the organization.** |  |  |  |  |  |
| **8.2.2 Commitment to the development and implementation & effectiveness of the management system.** |  |  |  |  |  |
| **8.2.3 A member of management responsible and authority for** **a) Management system established, implemented and maintained; and****b) Reporting to top management on performance and need for improvement.** |  |  |  |  |  |

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| **Questions** | **Paragraph in IB Documents** | **yes** | **no** | **N/A** | **Remarks** |
| **8.2.4 All documentation, processes, systems, records, etc. related to the fulfillment of the requirements of this International Standard shall be included, referenced, or linked to documentation of the management system.** |  |  |  |  |  |
| **8.2.5 All personnel have access to relevant documentation and related information.** |  |  |  |  |  |
| ***8.3 Control of documents******(Option A)*****8.3.1 Procedures to control relevant documents (internal and external).** |  |  |  |  |  |
| **8.3.2 Procedures address****a) approve documents for adequacy prior to issue;** |  |  |  |  |  |
| **b) review and update (as necessary) and reapprove documents;** |  |  |  |  |  |
| **c) identify changes and current revision status;** |  |  |  |  |  |
| **d) ensure relevant documents available;** |  |  |  |  |  |
| **e) ensure documents legible identifiable;** |  |  |  |  |  |
| **f) ensure external documents identified and distribution controlled;** |  |  |  |  |  |
| **g) Prevent unintended use of obsolete documents, identify obsolete documents if retained.** |  |  |  |  |  |

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| ***8.4 Control of records******(Option A)*****8.4.1 Procedures to define the controls for*** **Identification,**
* **Storage,**
* **Protection,**
* **Retrieval,**
* **Retention time and**
* **Disposition of its records.**
 |  |  |  |  |  |
| **8.4.2 Procedures for retaining records****Access to these records shall be consistent with the confidentiality arrangements.** |  |  |  |  |  |
| ***8.5 Management review (Option A)******8.5.1 General*****8.5.1.1 Review management system****to ensure*** **Continuing suitability,**
* **Adequacy and**
* **Effectiveness,**
* **Covering the stated policies and objectives.**
 |  |  |  |  |  |
| **8.5.1.2 Annual review or rolling review.** |  |  |  |  |  |
| **8.5.1.3 Records of reviews shall be maintained.** |  |  |  |  |  |

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| **8.5.2 Review inputs****Input shall include:****a) Results of internal and external audits;****b) Feedback from clients and interested parties related to the fulfillment of this****International Standard;****c) The status of preventive and corrective actions;****d) Follow-up actions from previous management reviews;****e) The fulfillment of objectives;****f) Changes that could affect the management system;****g) Appeals and complaints.** |  |  |  |  |  |
| **8.5.3 Review outputs****Outputs from management review shall include decisions and actions related****to:****a) Improvement of the effectiveness of the management system and its processes;****b) Improvement of the inspection body related to the fulfillment of this International Standard;****c) Resource needs.** |  |  |  |  |  |

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| **Questions** | **Paragraph in IB Documents** | **yes** | **no** | **N/A** | **Remarks** |
| ***8.6 Internal audits******(Option A)*****8.6.1 Procedures for internal audits.** |  |  |  |  |  |
| **8.6.2 Planned audit program considering*** **Importance of the processes/ areas to be audited,**
* **Results of previous audits.**
 |  |  |  |  |  |
| **8.6.3 Periodic internal audits covering all procedures in a planned and systematic manner.** |  |  |  |  |  |
| **8.6.4 Start with every 12 months.****Adjust based on findings and stability.** |  |  |  |  |  |
| **8.6.5 The inspection body shall****ensure that:****a) Auditors suitably qualified****b) Auditors do not audit their own work;****c) Audit outcomes are feedback;****d) Any outcome actions are timely and appropriately done;****e) Any opportunities for improvement are****identified;****f) The results of the audit are documented.** |  |  |  |  |  |

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| **Questions** | **Paragraph in IB Documents** | **yes** | **no** | **N/A** | **Remarks** |
| ***8.7 Corrective actions******(Option A)*****8.7.1 Procedures to identify & manage nonconformities.** |  |  |  |  |  |
| **8.7.2 Take actions to eliminate the causes of nonconformities to prevent recurrence.** |  |  |  |  |  |
| **8.7.3 Corrective actions shall be appropriate to the impact of the problems encountered.** |  |  |  |  |  |
| **8.7.4 The procedures shall define****requirements for the****following:****a) Identifying nonconformities;****b) Determining causes;****c) Correcting nonconformities;****d) Evaluate need for preventive actions;****e) Determining the actions needed and implementing them in a timely manner;****f) Recording the results of actions taken;****g) Reviewing the effectiveness of corrective actions.** |  |  |  |  |  |

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| **Questions** | **Paragraph in IB Documents** | **yes** | **no** | **N/A** | **Remarks** |
| ***8.8 Preventive actions******(Option A)*****8.8.1 Procedures for preventive actions.** |  |  |  |  |  |
| **8.8.2 Preventive actions taken appropriate to probable impact of problem.** |  |  |  |  |  |
| **8.8.3 The procedures address:****a) Identifying potential nonconformities and their causes;****b) Evaluating the need for action;****c) Determining and implementing the action needed;****d) Recording the results of actions taken;****e) Reviewing the effectiveness of the preventive actions taken.** |  |  |  |  |  |