

Communication and assessment logistics

The Authorised Representative has responsibility for ensuring that the organisation complies with the requirements for accreditation at all times including communications with IANZ about assessment arrangements and submission of documents.

For accredited Inspection Bodies, notification letters sent to your organisation will confirm the dates by which you are required to submit documentation. For new applicants or IANZ clients seeking a special assessment outside of the normal assessment cycle, applications should be submitted a minimum of 12 weeks prior to your anticipated assessment date.

Specific documentation required for inspection personnel assessments should be submitted a minimum of six weeks prior to the witness assessment. Late submission may result in cancellation of the visit due to inadequate preparation time available.

If you make any changes to your policies, procedures and systems these must be notified to IANZ no later than 14 days prior to your assessment in order for the new documentation to be considered during the assessment. Any changed documents should be supplied with the changed items identified.

Any communications between Technical Experts and the applicant organisation must be via the IANZ Lead Assessor. Please do not send any documentation directly to the Technical Expert.

It is the responsibility of the applicant inspection body to arrange suitable activities for the IANZ assessment team to witness. The suitability of the chosen activities must be confirmed with the assessment team in advance.

Submission of documentation

The IANZ Portal is used for the secure submission of electronic documentation in preparation for IANZ assessments. The Inspection Body Programme's preferred method of submission is via the portal. Benefits of using the portal include:

- Ensuring documentation is submitted in a controlled, secure and manageable format.
- Allowing for much larger attachment size than email. Large emails are often rejected or blocked.
- Automatically issuing a notification to the IANZ staff member, once documents have been uploaded.
- Simplifying the process for document management which has cost saving benefits to IANZ clients.

To arrange access and login credentials, please send a request to ibportalaccess@ianz.govt.nz

We can also accept material via other electronic channels such as email. Please contact your IANZ Lead Assessor to discuss other options.

Hard copy submissions are not encouraged and these may be returned to the sender, particularly for large submissions. If you are preparing to submit hard copy documentation, please contact your Lead Assessor beforehand to discuss. These documents need to be scanned by IANZ staff and saved in our electronic document management system, which has cost implications for clients.

General documentation requirements for inspection personnel assessments for all Inspection Body Programmes

For each person being assessed, the following documents are to be submitted to IANZ six weeks prior to the confirmed assessment date.

- Application for Signatory Approval form (signatory model only)
- Inspector Scope form
- CV
- The inspection body's inspection procedures
- The inspection body's training procedures (including where the competence requirements for inspections have been defined)
- Records of authorisation for each category and/or sub-category of inspection
- Summary of inspection work undertaken by the person in the last 12 months
- Records of monitoring / peer review (two most recent reviews)

- Three reports compiled by the inspector over the last 12 months, covering the range of inspection categories / sub-categories
 - For applicants who are not yet authorised signatories, these reports would have been compiled under supervision
 - For Drinking Water Assessors, refer to the specific requirements below for further detail
- Documentation to be used by the inspector during the witness assessment; this usually consists of the inspection checklist annotated by the inspector, and any planning or preparation notes

Specific documentation to be submitted for inspection personnel assessments in Food Safety (inspections in accordance with the Food Act 2014)

In addition to the general documentation requirements, the following documentation must be submitted for each person verifier or evaluator to be witnessed.

- Records of education and/or qualifications (e.g. degrees, HACCP course, etc.)
- Records of induction (for new applicants)
- Evidence of having completed the verifier and/or evaluator training modules in TiriTiri
- If the witness assessment is a Custom Food Control Plan (FCP) evaluation or verification, the assessment team will require the FCP
- The verification/evaluation or 'audit' plan; the plan should include start and finish times plus the location of and directions to the witness activity and contact details for the on-site personnel

Specific documentation to be submitted for witness assessments in the Drinking Water Programme

In addition to the general documentation requirements, the following documentation must be submitted for each Drinking Water Assessor (DWA) to be witnessed.

- Evidence of completion of Drinking Water Diploma
- Records of induction (for new applicants)
- A summary of the training completed by the DWA/trainee DWA (for DWAs, this should be over the previous four years)
- A list of scope activities completed by the DWA over the previous four years; for trainee DWAs, this should be a list of the accredited activities carried out by the applicant during their training
- A Scope 1 Compliance Report completed by the DWA/trainee DWA
- A Scope 1 Signatory Peer Review (SPR) of the DWA/trainee DWA (different to the above job)
- A Scope 2 Authorisation Report completed by the DWA/trainee DWA and the associated checklists (analysts summary sheet, onsite authorization checklist)
- A Scope 2 SPR of the DWA/trainee DWA (different to the above job)
- A Scope 3 Water Safety Plan (WSP) Adequacy Report and associated checklist completed by the DWA/trainee DWA
- A Scope 3 SPR of the DWA/trainee DWA (different to the above job)
- A Scope 4 WSP Implementation report completed by the DWA/trainee DWA
- A Scope 4 SPR of the DWA/trainee DWA (different to the above job)
- The Scope 2 authorisation checklist to be used on the day of IANZ assessment; this should be annotated checklist that the DWA/trainee DWA has prepared
- The Scope 3 WSP adequacy report previously completed for the implementation verification to be witnessed as part of the IANZ assessment; this may have been completed by another DWA
- The WSP for the Scope 4 implementation verification to be witnessed as part of the IANZ assessment
- The annotated Scope 4 checklist for the implementation verification to be witnessed as part of the IANZ assessment

Inspection Body Guidelines on Applications and Documentation for Inspection Personnel Assessments



Note: Due to the large volume of documents required for DWA assessments, submission via the IANZ portal is preferred. Documents should be uploaded using standard file names. Please see the section that follows for guidance on this.

Specific documentation to be submitted for witness assessments in the Engineering Safety Programme (inspections in accordance with PECPR, Petroleum Exploration and Extraction, and Pipelines Regulations)

In addition to the general documentation requirements, the following documentation must be submitted for each inspector to be witnessed.

- Evidence of relevant Certification Board for Inspection Personnel (CBIP) and/or Engineering New Zealand (ENZ) certification for the individual's scope items, if applicable
- Detail on the type of plant the inspection body proposes to inspect for the witness assessment; this information will be discussed with the Technical Expert to confirm that it is appropriate

Specific documentation to be submitted for witness assessments in the NDT Programme

In addition to the general documentation requirements, the following documentation must be submitted for each inspector to be witnessed.

- Evidence of relevant personnel certification from an IANZ-recognised personnel certification body (refer to *IANZ Supplementary Criteria for Accreditation: Mechanical Testing Laboratories - Non-Destructive Testing*, Appendix 1 for further guidance) for the individual's scope items

Guidance on naming conventions for documents submitted

Due to the large volume of documents that are required for assessment purposes, it is strongly recommended that Inspection Bodies use naming standards when submitting documents electronically (via the portal or email). This will assist in the storage and retrieval of documentation. An Inspection Body that prepares a good quality submission reduces the cost of their assessment associated with the time a Lead Assessor spends in preparation for the assessment.

Document type	Recommended naming convention
CV	Inspector_CV_date e.g. <i>John Doe CV Jan 19</i>
Audit plan	Inspector_Audit Plan_date e.g. <i>John Doe Audit Plan Jan 19</i>
Training records (including Induction, Monitoring, Authorisation, etc)	Inspector_Document Name_date e.g. <i>John Doe Induction Record Jan 19</i>
Checklists	Checklist name_version_date e.g. <i>AS2 Verification Checklist Version 2 Jan 19</i>
Procedures	Document name_version_date e.g. <i>AS1 Policy Document Version 2 Jan 19</i>
Witness assessment documentation	Inspector_Document Name_date e.g. <i>John Doe Annotated verification checklist Jan 19</i>