



Specific Criteria for Accreditation
Application of ISO/IEC 17020:2012



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Tohu Matatau Aotearoa

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Specific Criteria for Accreditation

Application of ISO/IEC 17020:2012 for accreditation of inspection bodies in New Zealand

Incorporating ILAC P15 requirements and IANZ Notes

AS IB C1

Third Edition July 2020

Published by:

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Edition Statement

Edition	Amendment	Date of Issue	ISBN No.
1	New publication	June 2017	978-1-877531-36-1
2	Addition of Section 9 (omitted in error)	December 2017	978-1-877531-43-9
3	Rebrand	July 2020	978-1-877531-80-4

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1 Introduction

International Accreditation New Zealand (IANZ) Specific Criteria amplify or particularise IANZ's generic accreditation criteria for specific fields of technology. A list of all published Criteria is available from IANZ on request.

This document has been prepared as a companion to the primary criteria for accreditation of inspection bodies, ISO/IEC 17020:2012 *Conformity Assessment – Requirements for the operation of various types of bodies performing inspection*.

There are two distinct types of content in this document, internationally agreed interpretations and IANZ specific comments and expectations.

IANZ is the New Zealand national accreditation body for the accreditation of inspection bodies and a signatory to the International Laboratory Accreditation Cooperation (ILAC) mutual recognition arrangement (MRA). This is a worldwide arrangement whereby inspection, and test reports and certificates, endorsed with the IANZ symbol, are recognised by all signatories as being of equivalent technical validity and reliability. There are currently over 80 signatories to the arrangement, providing significant added value to endorsed results when used to support global trade.

To achieve consistency of accreditation in different economies it is a condition of signatory status in the ILAC MRA that all signatory accreditation bodies must apply the published ILAC requirements documents related to the application of the international standards used as primary criteria for accreditation. In the case of inspection bodies, the relevant publication is ILAC P15:07/2016 *Application of ISO/IEC 17020:2012 for the Accreditation of Inspection Bodies*. This Specific Criteria for Accreditation incorporates the text of ILAC P15 in its entirety. ILAC P15 requirements in this document must therefore be considered to be conditions of accreditation to ISO/IEC 17020:2012.

In addition, this document includes IANZ specific notes. These are not requirements of accreditation but they represent customary practice in New Zealand and provide clarification of meaning to clauses of ISO/IEC 17020:2012. IANZ notes provide good practice guidance for inspection bodies to clarify what will be expected of inspection bodies that seek accreditation to ISO/IEC 17020:2012. If an inspection body chooses not to follow the guidance directly it is their responsibility to demonstrate that their chosen procedure or practice is as good as or better than that outlined in the guidance.

In this document, the text of ILAC P15 (reproduced in its entirety) is presented in ***bold italics*** text. IANZ notes are presented in normal font to differentiate the IANZ guidance from mandatory ILAC P15 text.

For convenience of cross referencing, the numbering and formatting of this document is related directly to the section and clause numbers of ISO/IEC 17020:2012. For example, text numbered 5.1.3a relates directly to clause 5.1.3 of ISO/IEC 17020:2012. Section numbers in this document do not run consecutively as there may be no clarification or notes for some clauses of the Standard.

The term “shall” is used throughout this document to indicate those provisions which, reflecting the requirements and intent of ISO/IEC 17020:2012, or in a few cases requirements for the operation of accreditation bodies in ISO/IEC 17011, are considered to be mandatory for accreditation. The term “should” is used to indicate those provisions which, although not mandatory, are provided by ILAC as a recognized means of meeting a requirement. Inspection bodies whose systems do not follow the ILAC guidance will only be eligible for accreditation if they can demonstrate to the accreditation body that their preferred solution meets the intent of the relevant clause of ISO/IEC 17020:2012 in an equivalent or better way than that specified in this document.

3 Terms and definitions

3.1a *The term “installation” may be defined as “a collection of components assembled to jointly achieve a purpose not achievable by the components separately”.*

IANZ Note to 3.7:

Regulatory requirements over and above the requirements of ISO/IEC 17020:2012 constitute an inspection scheme.

4 General requirements

4.1.3a *Risks to the impartiality of the inspection body shall be considered whenever events occur which might have a bearing on the impartiality of the inspection body or its personnel.*

IANZ Note to 4.1.3:

Examples of such events include but are not limited to:

Employment of new personnel, new contracts/clients, subcontracting, mergers, acquisitions etc. (See also 6.1.12a).

4.1.3b *The inspection body should describe any relationships that could affect its impartiality to the extent relevant, using organisational diagrams or other means.*

Examples of relationships that could influence impartiality include:

- *Relationship with a parent organisation*
- *Relationships with departments within the same organisation*
- *Relationships with related companies or organisations*
- *Relationships with regulators*
- *Relationships with clients*
- *Relationships of personnel*
- *Relationships with the organisations designing, manufacturing , supplying, installing, purchasing, owning, using or maintaining the items inspected*

IANZ Note:

See explanation of “items inspected” in Aa (Annex A).

4.1.5a *The inspection body should 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 should not contradict this statement.*

4.1.5b *One way for the top management to emphasise its commitment to impartiality is to make relevant statements and policies publicly available.*

IANZ Note to 4.1.6:

It is the responsibility of the inspection body to provide all necessary information to support a decision on independence type A, B or C. The recommended method is to provide a completed “Independence Type Assessment Form” (available on the IANZ website) together with supporting evidence.

IANZ Note to 4.2.1:

It is implicit that this requirement must also be applied by the inspection body to any subcontractors or individuals acting on its behalf.

5 Structural requirements

5.1.3a *The inspection body should 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.*

IANZ Note to 5.1.3:

Inspection bodies may use their scope of accreditation to fulfil the requirement of 5.1.3 if the accreditation scope encompasses all competencies claimed by the inspection body.

5.1.4a *The level of provisions should be commensurate with the level and nature of liabilities that may arise from the inspection body's operations.*

IANZ Note to 5.1.4:

It is not the role of the accreditation body to approve the level of insurance cover or reserves held by the inspection body. 'Adequacy' may be based on evidence of agreement between the parties to the contract and consideration of any relevant statutory requirements.

The inspection body shall be able to show what factors have been taken into account when determining what constitutes "adequate provision", e.g. advice from insurance advisor/provider.

When an inspection body chooses to rely on reserves, rather than insurance, IANZ will require evidence of the arrangement such as a statutory declaration from the organisation that provides confidence in the long term availability of the declared reserves.

IANZ Note to 5.1.5:

In the case of a Type C inspection body conditions of contract should include a clear statement of the issues that prevent it being classified as a Type A inspection body to allow clients to make informed decisions on the level of independence offered.

5.2.2a *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.*

5.2.2b *"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.*

5.2.2c *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.*

IANZ Note to 5.2.2:

Other proposed means of maintaining competence in infrequently performed inspections will be considered on a case-by-case basis.

5.2.3a *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 should be clearly shown in the chart or documents.*

5.2.4a *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.*

5.2.5a *In order to be considered as, "available", the person shall be either employed or otherwise contracted [to the inspection body].*

5.2.5b *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.

IANZ Note to 5.2.5:

The words, “have available”, in clause 5.2.5, imply “contactable” whenever technical support may be needed, such as whenever inspections are taking place.

5.2.6a In an organization where the absence of a key person causes the cessation of work, the requirement for having deputies is not applicable.

IANZ Note to 5.2.6:

Clearly documented procedures for selecting and appointing competent deputies, rather than pre-naming deputies, may be considered on a case-by-case basis.

5.2.7a 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.

5.2.7b The job description or other documentation shall detail the duties, responsibilities and authorities for each position category referred to in 5.2.7a.

6 Resource requirements

6.1.1a Where appropriate, inspection bodies shall define and document competence requirements for each inspection activity, as described in 5.1.3a.

IANZ Note to 6.1.1:

Experience and the completion of training do not guarantee practical competence in inspection or the development of sound professional judgment. Therefore a list of qualifications and minimum length of experience, alone, will not be accepted as a definition of competence.

6.1.1b For “personnel involved in inspection activities”, see guidance 5.2.7a.

6.1.1c Competence requirements should include knowledge of the inspection body’s management system and ability to implement administrative as well as technical procedures applicable to the activities performed.

6.1.1d When professional judgment is needed to determine conformity, this shall be considered when defining competence requirements.

6.1.2a All requirements of ISO/IEC 17020 apply equally for both employed and contracted persons.

IANZ Note 1 to 6.1.3:

Clause 6.1.3 applies to technical managers as well as inspectors.

IANZ Note 2 to 6.1.3:

‘Appropriate’ qualifications etc. may be specified in scheme rules such as regulations or in IANZ documents for specific technical fields.

6.1.5a The procedure for formally authorising inspectors should 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.

IANZ Note to 6.1.5:

Records of training and authorisation should be retained for a minimum of three years after the end of authorisation or for the duration of the currency of the reports/certificates produced by the individual, whichever is longer.

6.1.6a The “mentored working period” mentioned in item b normally includes activities where inspections are performed.

6.1.7a Identification of training needs for each person should take place at regular intervals. The interval should 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, should be documented.

6.1.8a 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.

6.1.8b For "other personnel involved in inspection activities", see 5.2.7a.

6.1.9a To be considered sufficient, the evidence that the inspector is continuing to perform competently should be substantiated by a combination of information such as;

- **satisfactory performance of examinations and determinations,**
- **positive outcome of report reviews, interviews, simulated inspections and other performance assessments (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.**

6.1.9b 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 should be designed considering;

- **the risks and complexities of the inspections,**
- **results of previous monitoring activities, and**
- **technical, procedural or legislative developments relevant to the inspections.**

The frequency of on-site observations depends on the issues listed above, but should be at least once during the accreditation re-assessment cycle, however see application note 6.1.9a. 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.

6.1.9c In inspection areas where the inspection body has only one technically competent person the internal observation on-site cannot take place. In such cases the inspection body shall have arrangements in place for external observations on-site, unless other sufficient supporting evidence that the inspector is continuing to perform competently is available (see 6.1.9a).

IANZ Note 1 to 6.1.9:

The term 'competently' is intended to include both technical reliability and consistency with other inspectors in the same inspection body.

IANZ Note 2 to 6.1.9:

The intent of the Standard is that on-site observation should be the default and primary means of monitoring. It may be supplemented by other evidence. To be acceptable for accreditation, any proposed monitoring scheme that does not include on-site observation must be able to demonstrate an equivalent level of confidence in the continuing technical reliability and consistency of each inspector's work to that which could have been obtained from on-site observation.

IANZ Note 3 to 6.1.9:

Only in exceptional circumstances will witnessing performed by a personnel certification body be accepted and then only from ISO 17024 accredited bodies. In all cases the person(s) witnessing inspections must meet the requirements of 6.1.8.

6.1.10a *Records of authorisation should specify the basis on which authorisation was granted (e.g. the on-site observation of inspections).*

IANZ Note to 6.1.10:

Training records may be sufficient evidence to justify authorisation decisions if they contain sufficient detail and can demonstrate on-going compliance with defined competency criteria.

6.1.11a *Remuneration methods that provide incentives to perform inspections quickly have the potential to negatively affect the quality and outcome of inspection work.*

6.1.12a *Policies and procedures should 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 should 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.*

6.2.1a *Equipment required to carry out inspection in a safe manner may include e.g. personal protective equipment and scaffolding.*

IANZ Note to 6.2.1:

Where safety equipment such as gas detectors, radiation monitors, harnesses, fall arrestors etc. are essential, periodic calibration, testing, inspection or other means of validation may be needed to confirm on-going suitability and adequacy.

6.2.3a *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.*

6.2.3b *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.*

6.2.4a *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.*

6.2.4b *When controlled environmental conditions are needed, the equipment used to monitor such conditions should be considered as equipment that significantly influences the result of inspections.*

6.2.4c *When appropriate (normally for the equipment covered by clause 6.2.6) the definition shall include the required accuracy and measurement range.*

IANZ Note 1 to 6.2.4:

Equipment, referred to in 6.2.4, may include software, controlled environment monitoring instruments and anything else that could significantly influence the outcome of inspections.

IANZ Note 2 to 6.2.4:

Decisions on which instruments have, or do not have, a significant influence on the results of inspection should be documented to provide institutional memory for the inspection body and to enable a technical expert to review these decisions for appropriateness.

6.2.6a *The justification for not calibrating equipment that has a significant influence on the outcome of inspection (see clause 6.2.4) should be recorded.*

6.2.6b *Guidelines on how to determine calibration intervals can be found in ILAC G24.*

IANZ Note to 6.2.6:

Copies of ILAC documents are available from IANZ on request or direct from the ILAC website, www.ilac.org

6.2.7a *According to ILAC P10 it is possible to perform in-house calibration of equipment used for measurements. It is a requirement [of ISO/IEC 17011:2004] 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.*

IANZ Note 1 to 6.2.7:

IANZ requires accredited inspection bodies to record the rationale for any decisions regarding the non-applicability of traceability to national or international standards of measurement.

6.2.7b *According to ILAC P10 the preferred routes for conformity assessment bodies who seek external services for calibration of their equipment are defined in subsections 1) and 2) of section 2 in ILAC P10. If however, it is not possible to comply with these two routes for any justifiable reason, then it is acceptable to use the routes 3a) or 3b) of section 2 of ILAC P10. It is a requirement [of ISO/IEC 17011:2004] for accreditation bodies to have a policy to ensure that such external calibration services meet the relevant criteria for metrological traceability in ISO/IEC 17025.*

IANZ Note 2 to 6.2.7:

IANZ requires accredited inspection bodies to record the justification for any decisions to use routes 3a) or 3b) of section 2 of ILAC P10.

6.2.7c *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.*

6.2.8a *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.*

6.2.9a *Where equipment is subjected to in-service checks between regular re-calibrations, the nature of such checks, the frequency and acceptance criteria should be defined.*

IANZ Note to 6.2.9:

By default all equipment defined under clause 6.2.4 as having a significant effect on the outcome of inspections, should be subject to in-service checks. Decisions not to perform in-service checks for equipment that could affect the outcome of an inspection must be justified and documented.

6.2.10a *The information provided in 6.2.7a, 6.2.7b and 6.2.7c for programs of calibration of equipment is valid also for programs of calibration of reference materials.*

6.2.11a *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.*

6.2.11b *The verification procedure should ensure that incoming goods and services are not used until conformance with specification has been verified.*

6.2.13a *Factors that should be considered in protecting the integrity and security of data include;*

- *backup practices and frequencies,*
- *effectiveness in restoring data from backup,*
- *virus protection, and*
- *password protection.*

IANZ Note 1 to 6.2.13:

Clause 6.2.13 applies to all uses of computers including the generation, storage and communication of inspection records, reports, certificates, quality management system documentation and records of the implementation of the quality management system.

IANZ Note 2 to 6.2.13:

The term 'computers or automated equipment' in clause 6.2.13 includes mobile devices such as tablets, smart phones, data loggers or other devices used to generate, record, store or communicate data critical to inspection outcomes. Data may include, but is not limited to, measurements, photographs, video, sound recordings, spatial data e.g. from GPS or GIS, templates, checklists etc.

6.3.1a *Inspection activities can overlap with testing and certification activities where these activities have common characteristics (See Introduction of ISO/IEC 17020:2012). 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.*

6.3.1b *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.*

IANZ Note to 6.3.1:

The wording of 6.3.1 requires an inspection body to decide which conformity assessment Standard is appropriate for subcontracted work and what are the 'relevant' requirements in the chosen Standard. To enable these important decisions to be assessed these decisions, and the rationale for the decisions, must be recorded.

6.3.3a *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.*

6.3.4a *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.*

IANZ Note to 6.3.4:

The requirements of clause 6.3.4 apply to all parties 'contracted' to provide services and results on which an inspection decision relies, whether directly contracted by the inspection body or by a third party such as the owner or operator of the inspected items. The inspection body remains responsible for the inspection result (6.3.3) and must therefore make a decision on the acceptability of the supplier based on recorded investigations (6.3.4).

7 Process requirements

7.1.5a *Where appropriate the contract or work order control system should also ensure that;*

- *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*

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.

7.1.5b *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.*

7.1.5c *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.*

7.1.6a *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.*

IANZ Note to 7.1.6:

Inspection bodies must make a decision on the reliance to be placed upon information supplied by any other party. An inspection body is not obliged to accept any information supplied by any other party.

IANZ Note to 7.1.7:

Worksheets, notebooks etc. used to record observations during inspections must be retained for a defined period of time. When defining a retention period inspection bodies must comply with any relevant scheme rules. Inspection bodies are also encouraged to consider the period of validity of reports/certificates, the value of records for their own defence, and their clients' convenience as well as the costs associated with storage. A minimum of three years is recommended for accreditation assessment purposes.

IANZ Note to 7.1.8:

The nature of checks should be defined, including their purpose and the point(s) in the process when they should take place. Records should be kept to demonstrate that checks have taken place and allow verification of the effectiveness of calculation and transcription checks.

7.3.1a *The records should indicate which particular items of equipment, having a significant influence on the result of the inspection, have been used for each inspection activity.*

7.4.2a *ILAC P8 requires accreditation bodies to specify rules for the use of accreditation symbols on reports and certificates. It should be noted that for endorsed reports and certificates, that is reports and certificates making reference to accreditation, such rules shall include the requirement that inspection bodies include a clear disclaimer;*

- *when not accredited for services/tests listed on reports and certificates (see full text in section 8.1 of P8), and*
- *when reports and certificates include or are based on results from unaccredited subcontractors (see full text in section 9.3 of P8).*

IANZ Note to 7.4.2b:

Copies of ILAC documents are available from IANZ on request or direct from the ILAC website, www.ilac.org.

IANZ Note 1 to 7.4.2c:

Where an inspection report/certificate includes the results of many inspections, spanning a lengthy period of time, a statement of the relevant range of dates may be acceptable to meet the requirement of 7.4.2c) provided supporting records identify the dates of each contributing inspection.

IANZ Note 2 to 7.4.2c:

IANZ may consider accepting a combined inspection/issue date on reports or certificates if an inspection body can make a convincing case that the date(s) of inspection are not critical e.g. when items such as documents are the subject of the inspection and they cannot change following the inspection. If a combined date is to be used the meaning must be explicit on the report/certificate.

7.4.4a *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.*

8 Management system requirements

IANZ Note on 8.1.1:

Whichever option is chosen, compliance with the requirements of clauses 8.2 – 8.8 and 7.5 and 7.6 is a condition of accreditation. The inspection body must provide objective and impartial evidence of compliance with all requirements to the accreditation body to justify the granting of accreditation.

8.1.3a *The expression “this International Standard” is a reference to ISO/IEC 17020, not ISO 9001.*

8.1.3b *Option B does not require that the inspection body's management system is certified to ISO 9001. However, when determining the extent of assessment required, 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.*

IANZ Note on 8.1.3:

If an inspection body chooses option B it has a responsibility to demonstrate that relevant parts of their ISO 9001 compliant system meet the requirements set out in clauses 8.2.to 8.8 and 7.5 and 7.6 of ISO/IEC 17020, some of which are more prescriptive than those in ISO 9001.

An inspection body that selects option B will be required to provide objective and impartial evidence that:

- its management systems are established (documented) and fully comply with ISO 9001, and
- its management systems are maintained up to date and appropriate, and
- its management systems are capable of fulfilling all requirements of ISO/IEC 17020:2012 (including those not explicit in ISO 9001) and
- its management systems consistently fulfil all requirements of ISO/IEC 17020:2012.

IANZ will review evidence of compliance with 8.1.3 presented in the form of a recent ISO 9001 audit report from an accredited certification body. If the report provides confidence that the inspection body meets all, or some, of the requirements of 8.1.3, as clarified in ILAC P15, IANZ may seek less direct evidence of compliance, with those aspects of ISO/IEC 17020, than would be required of an inspection body that chose option A.

8.2.4a *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.*

IANZ Note on 8.3.1:

The term ‘establish’ in clause 8.3.1 means that all policies and procedures needed to ensure compliance with the requirements of ISO/IEC 17020:2012 shall be documented and controlled.

8.4.1a *This requirement means that all records needed to demonstrate compliance with the requirements of the standard shall be established and retained.*

8.4.1b *In cases where electronic seals or authorizations are used for approvals, access to the electronic media or seal should be secure and controlled.*

8.5.1a *A review of the impartiality risk identification process and its conclusions (clauses 4.1.3/4.1.4) should be part of the annual management review.*

8.5.1b *The management review should 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.*

8.5.1c *The management review should include a review of the effectiveness of systems established to ensure adequate competence of the personnel.*

IANZ Note on 8.6.2:

Clause 8.6.2 is intended to encourage more targeted auditing of areas of higher risk or of known problem areas rather than justifying less auditing. (See 8.6.4)

8.6.4a *The inspection body shall ensure that all requirements of ISO 17020 are covered by the internal audit program within the accreditation re-assessment cycle. The requirements to be covered shall be considered for all fields of inspection and for all premises where key activities are performed (see IAF/ILAC A5).*

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. The justification may be based on considerations such as;

- *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.*

IANZ Note on 8.6.4:

The minimum internal audit requirement as stated in 8.6.3 and 8.6.4 is coverage of all procedures every year. Multi-site inspection bodies do not have to audit all procedures, at every site, every year.

8.6.5a *Competent externally contracted personnel may carry out internal audits.*

8.8.1a *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.*

9 Annex A: Independence requirements for inspection bodies

Aa *Annex A.1 and A.2 of ISO/IEC 17020 refer to the phrase “items inspected” with respect to Type A and Type B inspection bodies. In Annex A.1 b it is stated that “In particular they shall not be engaged in the design, manufacture, supply, installation, purchase, ownership, use or maintenance of the items inspected”. In Annex A.2 c it is stated that “In particular they shall not be engaged in the design, manufacture, supply, installation, use or maintenance of the items inspected”. The reference to “they” in the above sentences is a reference to the inspection body concerned and its personnel. The items in this case are those items that are specified in the accreditation body’s certificate/annex with respect to the accredited scope of the inspection body (e.g. pressure vessels).*

Ab *Under bullet point d) reference is made to linkages to separate legal entities engaged in the design, manufacture, supply, installation, purchase, ownership, use or maintenance of the items inspected. Such linkages include common owners and common owners’ appointees on boards or equivalent. These linkages are acceptable if persons involved do not have the possibility to influence the outcome of an inspection. In particular there exists a possibility to influence the outcome of an inspection if the person has the ability to;*

- *influence the selection of inspectors for specific assignments or customers, or*
- *influence decisions on conformity in specific inspection assignments, or*
- *influence remuneration for individual inspectors, or*
- *influence remuneration for specific assignments or customers, or*
- *initiate the use of alternative work practices for specific assignments.*