	ISO/IEC 17020:2012 VERTICAL ASSESSMENT FOR INSPECTION BODIES	**F07/07D**

For office use: ENAO Acc. No	
Inspection body:	
Field of operation:	
Assessor/s & Observers:	
Laboratory Representative:	
Date of Evaluation:	

This report covers the following:

Type of Assessment (Tick box):	Initial:		Follow up:		Re-assessment:	

INSTRUCTIONS

1) **PURPOSE: This form shall not be used by technical assessors as a checklist but for recording traceable factual evidence of the vertical assessment of all the technical inputs that were required in the production of the inspection report which has been selected. Clause numbers of the relevant ISO/IEC 17020 are therefore not quoted and the vertical assessment need not be limited to the technical aspects listed. All facts recorded should be sufficient so as to verify that the inspection was, or was not, performed under pre-defined controlled conditions.**

2) **SELECTION OF CERTIFICATE/REPORT: Select a certificate or report at random and choose one or more accredited inspections in order to trace back to check that all the technical input controls were valid, effective and conform to the inspection body's system requirements and to the requirements of ISO/IEC 17020..**

3) **RECORD OF ASSESSMENT: Record what was checked, how it was checked and if it is adequate to meet the technical requirement of ISO/IEC 17020. Use the blank portions of the form underneath the aspects to be assessed and, if necessary, continue recording data on the back of each page and cross referencing such notes to the original notes.**

Report/Certificate No: _____Customer Name: _____Date issued: _____

Inspection Method and Results: _____

CONTROLS TO BE ASSESSED (Key: C = Comply, NC = not comply, NA = not applicable)	**C** **NC** **NA**
1) Inspection Report/Certificate:	
Assess the report/certificate for compliance to the relevant requirements for reporting of results. a) Identification of the issuing body b)Identification of report or certificate c) Date(s) of inspection d) Date of issue e) Identification of the item(s)inspected f) Inspection method g) approval by authorized person h) Sub-contractors results clearly identified i) a statement of conformity where applicable	

2) Technical Records:	
Trace back to the raw data of the person(s) who performed the inspection(s) selected and **check**: a) Adequacy of traceability to the person(s) performing the inspection. b) Adequacy of raw data/original records of environmental and equipment control parameters required by the inspection such as humidity, temperature, time, pressure, force, etc. c) Adequacy of raw data and intermediate records in - legibility, permanency, corrections, and authorization. d) Appropriateness of calculation and data transfer checks by the inspection body. e) Calculation of results and data transfers - re-calculate the results under assessment to verify and check data transfers. f) Check correctness of data transfers. g) Records safely stored, held secure and in confidence to the customer h) Retention times specified	
3) Personnel:	
Assess the training records of the person(s) who performed the selected inspection(s) and **check:** a) Appropriate qualification, experience and in-depth knowledge of the requirements of the inspection procedure. b) Availability and validity of proof of competency of the person(s) on the specified date of the work. c) Appropriateness of methodology to prove competence by objective evidence over a period of time that the person(s) can meet the performance capability of the inspection method. d) Compliance to the system requirements for proving competency. e) Training system to ensure training with respect to technical and administrative aspects is kept up to date?	

4) Inspection Methods and Procedures:	
Assess the methods and procedures for the inspection(s) performed and **check:** a) Confirmation of controlled performance of methods and procedures and conformity against which is confirmed. b) Appropriateness of non-standard methods and procedures and adequately documented. c) Relevant use and adequacy of statistical methods when required. d) Relevance, availability and use of all instructions, worksheets, checklists and reference data. e) Review of customer requirements against capability of the inspection body before, during and on completion of the work. f) Methods and Procedures adequately addressed instructions on inspections, planning, sampling and inspection techniques? g) Documented instructions for carrying out inspections safely?	
5) Handling Inspection Samples and Items :	
Assess the samples and items that were inspected and **check:** a) Adequacy of identification system being implemented for uniquely identifying samples/items. b) Recording of any abnormalities and record of communication with the client where any discrepancy might cast doubt on the item's suitability for inspection or where it does not conform to the description provided. c) Confirmation of responsibility for sample preparation. d) Appropriateness of documented procedures to avoid the deterioration or damage of Inspection items	

6) Facilities and Equipment:	
Assess the facilities and equipment used for the performance of the selected inspection(s) and **check:** a) Suitability and adequacy of the equipment and facilities to meet the requirements of the inspections. b) Suitability of identification system for equipment. c) Availability of instructions on the use and maintenance of the equipment. d) Maintenance records are up to date and that the equipment was within its maintenance cycle at the time the selected inspection was performed e) Calibration before and during service and traceability to national or international standards. f) Equipment set-up and calibration controls are in place in order to ensure optimization of operation before and during work and such controls include any manufacturers recommendations for optimization and/or calibration. g) That the equipment was optimized by set-up and/or calibration controls during the performance of the selected inspection. h) Validity and traceability of reference standards and materials, used for in-house calibrations/verifications, and that they were calibrated by a competent calibration body traceable to national or international standards. i) Validity and traceability of the equipment/standards used to calibrate or monitor variables at the time the work was performed to national or international standards. j) That the range of calibration covers the operating range of the parameter measured in the inspection. k) That the resolution and measurement uncertainty of the equipment or standard is sufficiently higher than the tolerance of the parameter required to be monitored or verified. l) Suitability of in-house verification schemes and techniques by intermediate checks to ensure continued validity of the calibration status of reference, primary, transfer or working standards m) Appropriate application of correction factors, when relevant. n) Traceability to appropriate reference standards and reference materials. o) Appropriate use of reference standards of measurement for calibration only. p) Adequacy of monitoring of stored items to detect deterioration. q) Adequacy of software confirmation being fit for use. r) Adequacy of maintenance of computer and automated equipment and security and integrity of data. s) Adequacy of defective equipment handling.	

7) Subcontracting	
Assess any arrangements for subcontracting relevant to the selected inspection(s) and **check:** a) Suitability of system to assess sub-contractors competence and compliance of its subcontractors. b) Record and details of investigation of the competence and compliance of sub-contractors c) Suitability of communication with clients regarding any intended subcontracting.	
8) Confidentiality:	
Assess the arrangements for ensuring confidentiality of the selected inspection(s) and **check:** a) Maintenance of client's confidentiality during and after performance of the inspection(s). b) Suitability of arrangements for protection of propriety rights.	
9) Complaints and Appeals	
a) Any complaints and appeals with regards to the records being examined b) Records of complaints and appeals available as well as action taken by the Inspection Body	

Follow-up on Findings of Previous Assessment

Assessor signature: Date: