	ISO/IEC 17025 **VERTICAL ASSESSMENT FORM** **FOR TESTING/CALIBRATION/VERIFICATION LABORATORIES**	F07/07A

For office use: EAS Acc. No	
Laboratory:	
Field of operation:	
Assessor/s , Technical Expert & 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 test or calibration result which has been selected. Clause numbers of the relevant standards 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 test/calibration was, or was not, performed under pre-defined controlled conditions and, as a consequence, the result produced has, or has not, a known measurement uncertainty.**

2) **SELECTION OF CERTIFICATE/REPORT: Select a certificate or report at random and choose one or more accredited test or calibration results in order to trace back to check that all the technical input controls were valid, effective and conform to the laboratory's system requirements and to the requirements of ISO/IEC 17025.**

3) **RECORD OF ASSESSMENT: Record what was checked, how it was checked and if it is adequate to meet the technical requirement of the relevant standard. 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**: **----------**

Parameter(s)/Test(s) Selected and Results: ----------

CONTROLS TO BE ASSESSED (Key: C = Comply, NC = not comply, NA = not applicable)	**C** **NC** **NA**
1) Test/Calibration Report/Certificate:	
Assess the report/certificate for compliance to the relevant requirements for reporting of results. a) a title (e.g. "Test Report", "Calibration Certificate" or "Report of Sampling"); b) the name and address of the laboratory; c) the location of performance of the laboratory activities, including when performed at a customer facility or at sites away from the laboratory's permanent facilities, or in associated temporary or mobile facilities; d) unique identification that all its components are recognized as a portion of a complete report and a clear identification of the end; e) the name and contact information of the customer; f) identification of the method used; g) a description, unambiguous identification, and, when necessary, the condition of the item; h) the date of receipt of the test or calibration item(s), and the date of sampling, where this is critical to the validity and application of the results; i) the date(s) of performance of the laboratory activity; j) the date of issue of the report; k) reference to the sampling plan and sampling method used by the laboratory or other bodies where these are relevant to the validity or application of the results; l) a statement to the effect that the results relate only to the items tested, calibrated or sampled; m) the results with, where appropriate, the units of measurement; n) additions to, deviations, or exclusions from the method; o) identification of the person(s) authorizing the report;	

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p) Clear identification when results are from external providers. If applicable please check the other requirement additional requirement.	
2) Technical Records:	
Trace back to the raw data of the person(s) who performed the tests/calibrations selected and **check**: a) Adequacy of traceability to the person(s) performing the test /calibration b) Adequacy of raw data/original records of environmental and equipment control parameters required by the test/calibration 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 laboratory. e) Calculation of results and data transfers - re-calculate the results under assessment to verify and check data transfers. f) Randomly check correctness of data transfers.	
3) Personnel competency	
Assess the training records of the person(s) who performed the selected tests/calibrations and **check:** a) Availability and validity of proof of competency of the person(s) on the specified date of the work. b) 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 method. c) Compliance to the system requirements for proving competency.	

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4) Performance capability of selected methods:	
Assess the validation/verification of the tests/calibrations performed and **check:** a) The Laboratory uses the latest valid edition of the method and they are kept up to date b) Methods are validated or verified and the performance capability of the methods is available and appropriate. Confirmation of controlled performance of standard methods, laboratory developed methods and non-standard methods. c) The capability is appropriate for use and relevant to the customer's requirements. Statistical application is appropriate, e.g. where relevant, significant figure or rounding off policy for final results is applied.	
5) Uncertainty of Measurement:	
Assess the measurement uncertainty of the selected tests/calibrations and **check:** a) Appropriateness of the methodology used to calculate the uncertainty. b) Relevance of the uncertainty to the typical range of results and customer requirements. c) Methodology used to provide an uncertainty estimate/measurement capability when required.	

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6) Ensuring the validity of results	
Assess the technical quality control measures applicable to the selected tests/calibrations and **check:** a) Appropriateness and effectiveness for ensuring the controlled performance of the accredited work. b) Effectiveness of the control limits or tolerances been used and their relevance to the validation data. c) Adequacy of controls at the time when the selected results were produced. d) Evidence of actions implemented when breaches have occurred. e) Appropriateness of method of recording, evaluating and reviewing control data and updating control limits.	
7) Proficiency testing/ Inter-laboratory comparisons / Calibration measurement audit sample	
Assess the external inter-laboratory QC participation in relation to the selected tests/calibration and **check:** a) Appropriateness of the schemes and frequency of participation for the work performed. b) Appropriateness of the corrective/preventive action taken when relevant. c) The laboratory's performance in relation to its stated performance capability of the method	

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8) Calibration of equipment and/or standards used:	
Assess the equipment and standards used in the performance of the selected test/calibrations and **check:** a) 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. a) 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. b) That the range of calibration covers the operating range of the parameter measured in the test/calibration. c) That the resolution and measurement uncertainty of the equipment or standard is sufficiently higher than the tolerance of the parameter required be monitoring or verifying. d) 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 e) Appropriate application of correction factors, when relevant. f) Traceability to appropriate reference standards and reference materials. g) Appropriate use of reference standards of measurement for calibration only. **NOTE: Equipment includes volumetric glassware such as flasks, burettes, pipettes, etc which need to be calibrated or verified depending on the use and application.**	
9) Equipment maintenance and operation:	
Assess the equipment used in the performance of the selected tests/calibrations and **check:** a) Capability to meet the requirements of the test/calibration and of achieving the required accuracy. b) Availability of instructions on the use and maintenance of the equipment. c) Maintenance records are up to date and that the equipment was within its maintenance cycle at the time the selected results were produced. d) 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 manufacturer's recommendations for optimization and/or calibration. e) That the equipment was optimized by set-up and/or calibration controls during the production of the selected results.	

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10) Accommodation and environmental conditions:	
Assess the accommodation and environmental conditions during the performance of the selected tests/calibrations and **check:** a) Suitability of facilities in terms of services to effectively perform the test/calibration. b) That all variables that could affect the quality of the selected result are being monitored and controlled. c) Effective separation of neighboring areas to prevent any cross-contamination. d) Effective access control to areas affecting the quality of work	
11) Externally provided products and services:	
Assess the External products and services was process for supplies used during the performance of the selected tests/ calibrations and **check:** a) External provided services and products that affect the quality of the work are suitable prior to use b) the quality criteria as required for the methods and that such measures are adequate and proportionate to the impact on quality. c) Supply/stock control is adequate to ensure uninterrupted performance of work.	

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12) Handling of calibration or test items:	
Trace the sample upon which the selected tests/calibrations were performed or similar samples if no longer available and **check:** a) That it is uniquely identified to ensure that there can be no confusion regarding its identify at any time. b) That its identity matches the sample description in the selected report/certificate. c) That any abnormalities or departures from normal conditions have been recorded. d) Suitability of storage and retention time before, during and after testing/calibration.	
13) Customer's Requirements:	
Trace the customer, request, tender, contract or order and **check:** a) That the customer's requirements have been met by the issue of the selected report/certificate. b) That all records of communications with the client of any changes, amendments and progress updates regarding the work are retained and evidence of resolution of such changes with the customer are available.	

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Follow-up on Findings of Previous Assessment	
Assessor signature: Date:	