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## CONFIDENTIAL

**SINGAPORE ACCREDITATION COUNCIL**

## ACCREDITATION SCHEME FOR INSPECTION BODIES

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| **Inspection Body Assessment Checklist** | | | |
|  |  |  | |
| Type of Assessment | : | Preliminary / Initial / Renewal / Surveillance / Non-Routine / Verification | |
|  |  |  | |
| Inspection Body | : |  | |
|  |  |  | |
| Address | : |  | |
|  |  |  | |
| Tel / Fax | : |  | |
|  |  |  | |
| Names of persons seen | : |  | |
|  |  |  | |
| Field | : |  | |
|  |  |  | |
| Date of visit | : |  | |
|  |  |  | |
| Site Visited |  |  | |
|  |  |  | |
| Technical Assessor(s)/Expert(s) | : |  | |
|  |  |  | |
| Lead Assessor | : |  |  |
|  |  | Name & Signature | Date |

**References**

ISO/IEC 17020: 2012, SAC-01, SAC-02, SAC-SINGLAS 001, IB 01, ILAC P15, PROF 001

#### ASSESSMENT CHECKLIST

Please refer to ISO/IEC 17020 standard and ILAC P15for the full requirements.

|  | **Description** |
| --- | --- |
| To Produce | Mandatory to meet the requirement |
| To Consider | Guidance to meet the requirement |

| **Clause No.** | **Description** | **Yes** | **No** | **N.A.** | **Remarks** |
| --- | --- | --- | --- | --- | --- |
| **4.** | **General Requirements** | | | | |
| **4.1** | **Impartiality and independence** | | | | |
| 4.1.3 | Identify risks to its impartiality on an ongoing basis.  - Risk from activities  - Risk from its relationships  - Risk from the relationships of its personnel  To consider  Risk assessment, Risk matrix |  |  |  |  |
| 4.1.4 | Does the IB eliminate or minimize the risk identified? |  |  |  |  |
| 4.1.5 | How does the IB show that they have top management commitment to impartiality?  To consider  Management review, Code of conduct |  |  |  |  |
| 4.1.6 | Type A Inspection Body  Providing third party inspections, not engage in any activities that may conflict with their independence of judgment and integrity to their inspection activities.  Refer to Annex A. |  |  |  |  |
|  | Type B Inspection Body  Providing first party inspections or second party inspections or both, which forms a separate and identifiable part of an organisation involved in the design, manufacture, supply, installation, use or maintenance of the items it inspects and which supplies inspection services only to its parent organization.  Refer to Annex A. |  |  |  |  |
|  | Type C Inspection Body  Providing first party or second party or both, which forms an identifiable but not necessarily a separate part of an organisation involved in the design, manufacture, supply, installation, use or maintenance of the items it inspects and which supplies inspection services to its parent organization or other parties.  Refer to Annex A. |  |  |  |  |
| **4.2** | **Confidentiality** | | | | |
| 4.2.1 | Is there documented policy ensuring that confidentiality of information obtained and proprietary rights are protected?  To consider  Code of conduct, Contractual agreement |  |  |  |  |
| **5.** | **Structural requirements** | | | | |
| **5.1** | **Administrative requirements** | | | | |
| 5.1.1 | Is the inspection body legally identifiable?  To Produce  ACRA Certificate, Company registration number |  |  |  |  |
| 5.1.3 | Does the IB have any documentation that describes the activities for which it is competent? |  |  |  |  |
| 5.1.4 | Does the IB have adequate provision (eg insurance or reserves) to cover liabilities arising from its operation? |  |  |  |  |
| 5.1.5 | Does the IB have any documentation describing the contractual conditions for the inspection services?  To consider  Work Request, Contract review |  |  |  |  |
| **5.2** | **Organization and management** | | | | |
| 5.2.1 | Is the IB structured and managed in an appropriate manner to safeguard impartiality?  To consider  Job description, Organisation chart |  |  |  |  |
| 5.2.2 | Is the IB structured and managed in an appropriate manner to maintain the capability to perform its inspection activities?  To consider  Job description, Organisation chart, Competency matrix |  |  |  |  |
| 5.2.3 | Does the IB document the responsibilities and reporting structure?  To consider  Job description, Organisation chart (including parent organisation and subsidiaries) |  |  |  |  |
| 5.2.5 | Does the IB have one or more person(s) as technical manager(s) who has overall responsibility to ensure that the inspection activities are carried out in accordance with the ISO/IEC17020.  - Shall be technically competent and experienced |  |  |  |  |
| 5.2.6 | Any deputies in the absence of the technical manager?  To consider  Job description, Organisation chart |  |  |  |  |
| **6.** | **Resource requirements** | | | | |
| **6.1** | **Personnel** | | | | |
| 6.1.1 | Does the IB document the competence requirements for all personnel involved in inspection activities?  - Academic qualification  - Training required  - Technical knowledge  - Skills  - Experience  To consider  Training and Competency Matrix, Job description |  |  |  |  |
| 6.1.2 | Does the IB employ or have contracts with sufficient number of personnel having the required competency to perform the type, range and volume of inspection activities?  To consider  Employment contracts for personnel, Appointment Letter |  |  |  |  |
| 6.1.3 | Does the inspection personnel have relevant knowledge of the following?  - The technology used for the manufacture of the products inspected, the operation of processes and the delivery of services  - The way in which products are used, processes are operated and services are delivered  - Any defects which may occur during the use of the product, any failures in the operation of the process and any deficiencies in the delivery of the services  - Understand the significance of deviations found with regard to the normal use of the products, the operation of the processes and the delivery of services  To consider  Training and Competency matrix |  |  |  |  |
| 6.1.5, 6.1.6, 6.1.7, 6.1.8, 6.1.9, 6.1.10 | Does the IB have procedures for selecting, training, formally authorizing, and monitoring inspectors and other personnel involved in inspection activities?  To Produce  Procedures for the above.  Records of monitoring, education, training, technical knowledge, skills, experience and authorization of personnel. |  |  |  |  |
| 6.1.11 | Are the IB inspectors remunerated in a way that influences the results of the inspection?  To consider  Employment contracts for personnel, Appointment Letter |  |  |  |  |
| **6.2** | **Facilities and equipment** | | | | |
| 6.2.1 | Does the IB have available, suitable and adequate facilities and equipment to permit all activities associated with the inspection activities to be carried out in a competent and safe manner.  Responsibility for the suitability and calibration status of the equipment used in inspection, whether owned by the inspection body or not, lies solely with the inspection body.  To consider  Equipment master list  PPE issued  Equipment that are borrowed, rented, leased or provided by another party. |  |  |  |  |
| 6.2.2 | Does the IB have any rules for the access to, and the use of, specific facilities and equipment used to perform inspection?  To consider  Log book, Equipment master list |  |  |  |  |
| 6.2.4 | Does the IB, where appropriate, uniquely identify equipment that has significant influence to the results of the inspection?  To consider  Equipment master list |  |  |  |  |
| 6.2.6, 6.2.7, 6.2.8, 6.2.9, 6.2.10 | Does the IB, where appropriate, calibrate the measurement equipment that has significant influence on the results before putting into use, and thereafter calibrate according to an established programme?  - Where available, calibration measurements are traceable to national or international standard.  -Reference standards of measurement held by the IB shall only be used for calibration only and for no other purpose. And where possible, traceable to national or international reference materials.  -Where relevant, equipment shall be subjected to in-service checks between regular recalibration  To consider  Equipment master list, Calibration records/ certificates |  |  |  |  |
| 6.2.11 | Does the IB have procedures for  - Selection and approval of suppliers  - Verification of incoming goods and services  - Ensuring appropriate storage facilities  To Produce  Procedures for the above.  Verification of calibration reports/ certificates |  |  |  |  |
| 6.2.12 | Where applicable, does the IB assess the condition of the stored items at appropriate intervals to detect deterioration? |  |  |  |  |
| 6.2.13 | For computers or automated equipment in connection with inspection, does the IB ensure the following?  - Computer software is adequate  - Procedures are established and implemented for protecting the integrity and security of data  - Computer and automated equipment is maintained in order to ensure proper functioning  To Produce  Procedures to protect the integrity and security of data.  To consider  Access rights management. |  |  |  |  |
| 6.2.14 | Does the IB have procedures for dealing with defective equipment?  To Produce  Procedures for the above |  |  |  |  |
| 6.2.15 | Does the IB have records of calibration and maintenance for equipment and software?  To consider  Equipment master list, Calibration records/ certificates |  |  |  |  |
| **6.3** | **Subcontracting** | | | | |
| 6.3.1, 6.3.4 | Does the IB subcontract the inspections that it normally undertakes?  If Yes, how does the IB ensure and demonstrate the following?  The subcontractor  - is competent to perform the activities in question and , where applicable,  - complies with the relevant requirements stipulated in this International Standard or in other relevant conformity assessment standards.  To Produce  Records and details of IB’s investigation of the competence of its subcontractors  Register of subcontractors  To consider  2nd party audit or engage existing accredited IB for the scope of work |  |  |  |  |
| 6.3.2, 6.3.3 | Does the IB inform the client of its intention to subcontract any part of the inspection?  Does the IB assume responsibility for any determination of conformity of an inspected item performed by subcontractor?  To consider  All forms of written communication channels |  |  |  |  |
| **7.** | **Process requirements** | | | | |
| **7.1** | **Inspection methods and procedures** | | | | |
| 7.1.1, 7.1.3, 7.1.5 | Does the IB use the methods and procedures for inspection which are defined in the requirements against which the inspection is to be performed?  Does the IB inform the client if the inspection method proposed by the client is considered to be inappropriate?  For non standard inspection methods and procedures, does the IB ensure that it is appropriate and fully documented?  To Produce  Non standard inspection procedures  To consider  Contract review, Work instructions, Work review, Other forms of written communication channels |  |  |  |  |
| 7.1.2 | Does the IB have and use adequate documented instructions on inspection planning and on sampling and inspection techniques, where the absence of such instructions could jeopardize the effectiveness of the inspection process.  To consider  Inspection plan, Sampling plan, Inspection techniques, Inspection procedures |  |  |  |  |
| 7.1.4 | Does the IB have up-to-date instructions, standards, written procedures, worksheets, checklist and reference data relevant to the work of the IB.  Are these readily available to the personnel?  To consider  Doc control, Doc review process and Doc distribution |  |  |  |  |
| 7.1.6 | Does the IB verify the integrity of the information if the IB uses information supplied by any other party as part of the inspection process?  To consider  Doc review process |  |  |  |  |
| 7.1.7, 7.1.8 | Does the IB record in a timely manner, the observations or data during the course of inspection so as to prevent loss of relevant information?  Does the IB have appropriate checks on calculations and data transfers?  To consider  Work sheets, photographs, inspection evidence, draft inspection reports |  |  |  |  |
| 7.1.9 | Does the IB have documented instructions for carrying out inspection in a safe manner?  To consider  Safe work procedures, bizSAFE 3 certificate or equivalent |  |  |  |  |
| **7.2** | **Handling inspection methods and procedures** | | | | |
| 7.2.1 | Does the IB ensure items and samples inspected are uniquely identified to prevent confusion regarding the identity of the items and samples? |  |  |  |  |
| 7.2.2, 7.2.3 | Does the IB establish whether the item to be inspected has been prepared?  Does the IB record any abnormalities notified to, or notice by the inspector?  When there is any doubt as to the item’s suitability for inspection, or when the item does not conform to the description provided, does the IB contact the client before proceeding? |  |  |  |  |
| 7.2.4 | Does the IB have documented procedures and appropriate facilities to avoid deterioration or damage to inspection items while under its responsibility?  To Produce  Procedures to protect the samples  To consider  Approval from building management on storing hazardous/combustible items, environmental control, storage duration, disposal facilities, security |  |  |  |  |
| **7.3** | **Inspection records** | | | | |
| 7.3.1, 7.3.2 | Does the IB have a record system?  Are the inspection report(s) or certificate(s) internally traceable to the inspector(s) who perform the inspection?  To consider  File storage, digital storage, record retention period.  As a guide, important records should be kept at least through 1 accreditation cycle. |  |  |  |  |
| **7.4** | **Inspection reports and inspection certificates** | | | | |
| 7.4.2, 7.4.3 | Does the inspection report include the following?  - identification of the issuing body  - unique identification and date of issue  -date(s) of inspection  - identification of the item(s) inspected  - signature or other indication of approval, by authorized personnel  - statement of conformity where applicable  - the inspection results  The IB shall issue an inspection certificate that does not include the inspection results only when the IB can also produce an inspection report containing the inspection results, and when both the inspection certificate and inspection reports are traceable to each other.  To consider  Review of work including raw data before release to client |  |  |  |  |
| 7.4.5 | Does the IB keep a record of any corrections or additions to an inspection report or inspection certificate after issue?  An amended report or certificate shall identify the report or certificate replaced.  To consider  Identification of report, File storage, digital storage, record retention period. |  |  |  |  |
| **7.5** | **Complaints and appeals** | | | | |
| 7.5.1, 7.5.2, 7.5.3, 7.5.4 | Does the IB have a documented process to receive, evaluate and make decision on complaints and appeals?  The IB need to provide a description of the handling process for complaints and appeals to any interested party upon request.  To Produce  Procedures on handling complaints and appeals |  |  |  |  |
| 7.5.5 | Does the investigation and decision on appeals result in any discriminatory actions? |  |  |  |  |
| **7.6** | **Complaints and appeals process** | | | | |
| 7.6.1, 7.6.2, 7.6.3, 7.6.4, 7.6.5 | Does the handling process for complaint and appeals have the following?  - a description of the process for receiving, validating, investigating the complaint or appeal, and deciding what actions are to be taken in response to it  - tracking and recording complaints and appeals, including actions undertaken to resolve them  - ensuring that any appropriate action is taken  The decision to be communicated to the complainant or appellant shall be made by, or reviewed and approved by, individual(s) not involved in the original inspection activities in question.  To produce  Procedures on handling complaints and appeals  Records of complaints and appeals, including actions undertaken to resolve them |  |  |  |  |
| **8.** | **Management system requirements** | | | | |
| **8.1** | **Options** | | | | |
| 8.1.2, 8.1.3 | Option A  The management system of an IB shall address the following:  - management system documentation (8.2)  - control of documents (8.3)  - control of records (8.4)  - management review (8.5)  - internal audit (8.6)  - corrective actions (8.7)  - preventive actions (8.8)  - complaints and appeals (7.5 and 7.6)  Option B  The IB has established and maintained a management system in accordance to ISO9001, and that is capable of supporting and demonstrating the consistent fulfilment of the requirements of this International Standard, fulfil the management clause requirement (8.2 to 8.8) |  |  |  |  |
| **8.2** | **Management system documentation** | | | | |
| 8.2.2 | How does the IB provide evidence that the top management is committed to the development and implementation of the management system and its effectiveness in achieving consistent fulfilment of this International Standard?  To consider  ISO9001 clause 5.1  - communicating to the organisation the importance of meeting customer as well as statutory and regulatory requirements  - establishing the quality policy  - ensuring that quality objectives are established  - conducting management reviews  - ensuring the availability of resources |  |  |  |  |
| 8.2.3 | Does the IB’s top management appoint a member of the management who have responsibility and authority that include the following?  - ensuring that processes and procedures needed for the management system are established, implemented and maintained  - reporting to top management on the performance of the management system and any need for improvement  To produce  Appointment of Quality representative  ISO9001 clause 5.5.2 |  |  |  |  |
| 8.2.4 | Are all documentation, processes, systems, records, etc included, referenced or linked to documentation of the management system?  To consider  ISO9001 clause 4.2.1 |  |  |  |  |
| 8.2.5 | Does all personnel involved in inspection activities have access to the parts of the management system documentation and related information that are applicable to their responsibilities?  To consider  Doc control, access rights to inspectors and contracted inspectors |  |  |  |  |
| **8.3** | **Control of documents** | | | | |
| 8.3.1, 8.3.2 | Does the IB have procedures to control the documents (internal and external)?  Does the procedures include the controls needed to:  - approve documents for adequacy prior to issue  - review and update (as necessary) and re-approve documents  - ensure that changes and the current revision status of documents are identified  - ensure that relevant versions of applicable documents are available at points of use  - ensure that documents remain legible and readily identifiable  - ensure that documents of external origin are identified and their distribution controlled  - prevent the unintended use of obsolete documents and apply suitable identification to them if they are retained for any purpose  To produce  Procedures on control of doc  To consider  Documentation can be in any form or any type of medium (include propriety and in-house developed software).  ISO9001 clause 4.2.3 |  |  |  |  |
| **8.4** | **Control of records** | | | | |
| 8.4.1, 8.4.2 | Does the IB have procedures to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of its records?  Procedures for retaining records for a period consistent with its contractual and legal obligations. Access to these records consistent with the confidentiality arrangements.  To produce  Procedures on control of records  To consider  As a guide, important records should be kept at least through 1 accreditation cycle.  ISO9001 clause 4.2.4 |  |  |  |  |
| **8.5** | **Management review** | | | | |
| 8.5.1.1, 8.5.1.2, 8.5.1.3 | Does the IB have procedures to review its management system at planned intervals, in order to ensure its continuing suitability, adequacy and effectiveness, including the stated policies and objectives?  Reviews shall be conducted at least once a year or a complete review broken up into segments completed with a 12 mth time frame.  To produce  Procedures on Management Review  Records of Management Review  To consider  ISO9001 clause 5.6 |  |  |  |  |
| 8.5.2 | Does the Management Review include the following:  - results of internal and external audits  - feedback from clients and interested parties  - status of preventive and corrective actions  - follow up actions from previous management reviews  - the fulfilment of objectives  - changes that could affect the management system  -appeals and complaints  To consider  ISO9001 clause 5.6.2 |  |  |  |  |
| 8.5.3 | Does the output of the Management Review include the following?  - improvement of the effectiveness of the management system and its process  - improvement of the inspection body  - resources needs  To consider  ISO9001 clause 5.6.3 |  |  |  |  |
| **8.6** | **Internal Audit** | | | | |
| 8.6.1, 8.6.2, 8.6.3, 8.6.4 | Does the IB have procedures for internal audits to verify that it fulfils the requirement of this International Standard and that the management system is effectively implemented and maintained?  An audit programme shall be planned, taking into consideration the importance of the processes and areas to be audited, as well as results from previous audits.  Internal audits shall be performed at least once every 12 mths.  To produce  Procedures on Internal Audit  To consider  ISO9001 clause 8.2.2 |  |  |  |  |
| 8.6.5 | Does that IB ensure the following?  - internal audits are conducted by qualified personnel knowledgeable in inspection, auditing and the requirements of this International Standard  - auditors do not audit their own work  - personnel responsible for the area audited are informed of the outcome of the audit  - any actions resulting from internal audits are taken in a timely and appropriate manner  - any opportunities for improvement are identified  - the results of the audit are documented  To produce  Records of internal audits  To consider  ISO9001 clause 8.2.2 |  |  |  |  |
| **8.7** | **Corrective actions** | | | | |
| 8.7.1, 8.7.2, 8.7.3, 8.7.4 | Does the IB have procedures for identification and management of nonconformities?  Does the procedure have the following?  - identifying nonconformities  - determining the causes of nonconformity  - correcting nonconformities  - evaluating the actions needed and implementing them in a timely manner  - recording the results of actions taken  - reviewing the effectiveness of corrective actions  To produce  Procedures on identification and management of nonconformities  To consider  ISO9001 clause 8.5.2 |  |  |  |  |
| **8.8** | **Preventive actions** | | | | |
| 8.8.1, 8.8.2, 8.8.3 | Does the IB have procedures for taking preventive actions to eliminate the causes of potential nonconformities?  Does the procedure have the following?  - identifying potential nonconformities and their causes  - evaluating the need for action to prevent the occurrence of nonconformities  - determining and implementing the action needed  - recording the results of actions taken  - reviewing the effectiveness of the preventive actions taken  To produce  Procedures for taking preventive actions to eliminate the causes of nonconformities  To consider  ISO9001 clause 8.5.3 |  |  |  |  |
|  |  |  |  |  |  |

| **Section No.** | **SAC Requirements for IB Scheme** | **Yes** | **No** | **N/A** | **Remarks** |
| --- | --- | --- | --- | --- | --- |
| A | **Existing Approved Signatory** |  |  |  | IB 01, Clause 5 |
| 1 | Do the signatories still practise inspection that they are authorised for? |  |  |  |  |
| 2 | Do the signatories still occupy appropriate positions in the staff structure so as not be influenced in their inspection work? |  |  |  |  |
| B | **New Nominees for Approved Signatory** |  |  |  | IB 01, Clause 5 |
| 1 | Do the nominee(s) have the required qualifications and personnel certification for the inspection work applied for? |  |  |  |  |
| 2 | Do the nominee(s) practise inspection that they are nominated for? |  |  |  |  |
| 3 | Do the nominee(s) occupy appropriate positions in the staff structure so as not be influenced in their inspection work? |  |  |  |  |
| 4 | Is/are the nominee(s) familiar with the quality system as documented in the quality manual and SAC requirements, terms and condition. |  |  |  |  |
| 5 | Comments from technical assessor on the nominee(s) technical qualification, experience knowledge of the inspection work competence in giving professional judgement. |  |  |  |  |
| C | **Obligations of the Accredited Organisations**  Accredited organisations shall comply with the following conditions:  (a) Offer to all customers a standard of service consistent with the SAC terms and conditions and maintain impartiality and integrity in all operations; |  |  |  | SAC 01, SAC 02 |
|  |  |  |  |  |
|  | (b) Immediately notify SAC, where applicable, on any of the following:  (i) any change in its legal, commercial, ownership or organisational status; |  |  |  |  |
|  | (ii) any changes in organisation, top management and key personnel e.g. key managerial staff, management representative and approved signatories who could affect the performance or competence of the accredited organisation; |  |  |  |  |
|  | (iii) plans to conduct any accredited activities outside the Republic of Singapore; |  |  |  |  |
|  | (iv) change of resources and premises, where the accredited organisation has the responsibility to inform SAC at least 3 months in advance. In the case of the laboratory, the accreditation will be inoperative once the relocation begins and will be re-instated when competency has been verified on a case by case basis; |  |  |  |  |
|  | (v) any lawsuit or criminal investigation of the accredited organisation or its staff; |  |  |  |  |
|  | (vi) any changes to the scope of accreditation; |  |  |  |  |
|  | (vii) any significant changes in main policies; and |  |  |  |  |
|  | (viii) any other matters that may affect the ability of the accredited organisation to fulfil requirements for accreditation. |  |  |  |  |
|  | (c) Adhere to the rules for the use of the SAC Accreditation Marks and reference to accreditation status; |  |  |  |  |
|  | (d) Not to use the accreditation status in such a manner as to bring SAC into disrepute and not make any statement related to the accreditation which SAC may consider misleading or unauthorised; |  |  |  |  |
|  | (e) Provide reasonable facilities, such as accommodation, cooperation, and access to documentation, inspection methods, test / calibration standards, personnel, inspection site, calibration and testing areas for the assessors and SAC staff to discharge their duties during assessments and resolution of complaints; |  |  |  |  |
|  | (f) Make prompt payment to SAC of all the necessary fees levied by SAC; |  |  |  |  |
|  | (g) Upon the withdrawal of accreditation forthwith discontinue its use of reference to accreditation and withdraw all advertising materials which contains any reference to accreditation; |  |  |  |  |
|  | (h) Make a clear and unequivocal statement in all contacts with its customers that a certificate of accreditation in no way implies that the product or service is approved by SAC; and |  |  |  |  |
|  | (i) Not represent or hold itself out as being the agent or partner of SAC or make any representations on behalf of SAC. |  |  |  |  |
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| D. | Follow up on last year findings |
| E. | Other Observation and Comments  Proficiency Testing (IB 01, Clause 6) |
| Safety (IB 01, Clause 8) |
| F. | Additional Notes |