

ISO/IEC 17020 ASSESSMENT WORKSHEET



Self-assessment

This self assessment worksheet may be used in preparation for an assessment. It does not need to be returned to NATA.

4 General requirements

4.1 Impartiality and independence

No.	Clause summarised	Your System Reference	Other Comment
4.1.1	Inspection activities shall be undertaken impartially.		
4.1.2	Responsible for impartiality of inspection activities. Commercial, financial or other pressures not to compromise impartiality. <i>If IB is a part of a larger organisation demonstrate no Conflict of Interest.</i> <i>Requirements relating to impartiality are also applicable to subcontractors (See 6.1.12).</i>		
4.1.3	Identify risks to its impartiality on an ongoing basis. <i>Consider activities, relationships.</i> <i>NOTE relationships can include ownership, governance, management, personnel, shared resources, finances, contracts, marketing (including branding), commissions or other inducement, etc.</i>		
4.1.4	If a risk to impartiality is identified, demonstrate how eliminated / minimised.		
4.1.5	Top management commitment to impartiality.		
4.1.6	Independent to the extent needed		
4.1.6.a	Type A requirements Clause A.1		
	Fully independent of all involvement • See Annex A.1		

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No.	Clause summarised	Your System Reference	Other Comment
4.1.6.b	Type B requirements of Clause A.2.		
	Services only to parent organisation See Annex A.2		
4.1.6.c	Type C requirements of Clause A.3.		
	Where potentially conflicting services offered See Annex A.3		

4.2 Confidentiality

4.2.1	responsible, through legally enforceable commitments, for the management of information obtained or created. Inform client, in advance, of information open to public. Generally information is proprietary and confidential. <i>Requirements relating to confidentiality are also applicable to sub-contractors (See 6.1.13)</i>		
4.2.2	Client notified of the information made public.		
4.2.3	Information about the client obtained from other sources also confidential.		

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5 Structural requirements

5.1 Administrative requirements

No.	Clause summarised	Your System Reference	Other Comment		
5.1.2	If part of a legal entity involved in activities other than inspection then identifiable within that entity.				
5.1.3	Documentation outlining competence.				
	<i>Facility documentation must include or reference the scope of accreditation and the policy on the use of the NATA endorsement</i>				
5.1.4	Adequate provision (e.g. insurance or reserves) to cover liabilities. <i>NOTE The liability can be assumed by other parties.</i>				
	Insurance	Insurer	Policy No	Value	Expiry
	Prof. indemnity				
	Public Liability				
	Other				
5.1.5	Documentation describing the contractual conditions for service, except for services to parent entity.				

5.2 Organisation and management

5.2.1	Structured, managed to safeguard impartiality.				
5.2.2	Organised, managed to maintain inspection capability. <i>NOTE Inspection schemes can require exchange of technical experience.</i>				

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No.	Clause summarised	Your System Reference	Other Comment
P15 5.2.2 n2	“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. (ILAC P15: 05/2020)		
P15 5.2.2 n3	Inspection bodies shall maintain their capability and competence to carry out inspection activities performed infrequently (normally with intervals longer than one year). (ILAC P15: 05/2020)		
5.2.3	Define and document the responsibilities and reporting structure.		
P15 5.2.3 n1	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. (ILAC P15: 05/2020)		
5.2.4	Where the IB is part of an entity performing other activities, the relationship between these other activities and inspection activities shall be defined.		
5.2.5	Technical manager(s), responsible for inspection activities. Technical manager available, competent and experienced. <i>If more than 1 technical manager. The specific responsibilities of each manager shall be defined and documented.</i>		

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No.	Clause summarised	Your System Reference	Other Comment
P15 5.2.5 n2	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 and technologies involved in the performance of inspection activities. (ILAC P15: 05/2020)		
5.2.6	Deputies for technical manager.		
5.2.7	"job description" for each position involved in inspection activities.		
P15 5.2.7 n2	The job description or other documentation shall detail the duties, responsibilities and authorities for each position category referred to in 5.2.7n1 (ILAC P15: 05/2020)		

6 Resource requirements

6.1 Personnel

P15 6.1.1 n1	Where appropriate, inspection bodies shall define and document competence requirements for each inspection activity, as described in 5.1.3 n1. (ILAC P15: 05/2020)		
P15 6.1.1 n4	When professional judgment is needed to determine conformity, this shall be considered when defining competence requirements. (ILAC P15: 05/2020)		

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No.	Clause summarised	Your System Reference	Other Comment
	- satisfactory knowledge. Relevant knowledge of: - technology; - processes; - delivery of services; - use of products; - operation of processes; - delivery of services; - defects, failures and deficiencies, and - significance of deviations. <i>If staff are appointed / authorised consider:</i> <i>documented policy and procedure.</i> <i>covers all staff affecting outcomes, inspectors, clerical, ancillary and service personnel.</i> <i>may cover all, or limited elements or process steps associated with the inspection.</i> <i>demonstrate that reports get appropriate technical review prior to issue.</i> <i>Appointment dates and coverage and withdrawal date kept;</i> Records <i>Facilities should hold a current listing of staff authorised to issue reports, including as appropriate the range of activities for which they are approved.</i>		
6.1.4	Duties, responsibilities and authorities clear to each person		
6.1.5	Documented procedures for - selecting; - training; - formally authorising; and - monitoring inspectors and personnel involved in inspection activities.		

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No.	Clause summarised	Your System Reference	Other Comment
6.1.6	Procedures cover: a) an induction period; b) a mentored working period; c) continuing training.		
6.1.7	The training requirements consider ability, qualifications and experience of each person and the results of monitoring (see 6.1.8).		
6.1.8	Monitoring - monitors familiar with the inspection methods and procedures; - for satisfactory performance; - results of monitoring shall be used as a means of identify training needs (6.1.7). <i>NOTE Monitoring can include a combination of techniques such as on-site observations, report reviews, interviews, simulated inspections and other techniques to assess performance, and will depend on the nature of inspection activities.</i>		
6.1.9	Each inspector shall be observed on-site unless sufficient supporting evidence that the inspector is continuing to perform competently. <i>NOTE on-site observations should minimise disturbance of the inspections.</i> <i>Each inspector, on-site, at least once during the accreditation cycle (i.e. every three years)</i>		
6.1.11	Remuneration not to influence the results of inspections.		
6.1.12	All personnel (internal and external) shall act impartially.		

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No.	Clause summarised	Your System Reference	Other Comment
6.1.13	All personnel (internal and external) shall maintain confidentiality		

6.2 Facilities and equipment

6.2.2	Rules for the access to, and the use of, specified facilities and equipment used to perform inspections.		
6.2.3	Ensure the continued suitability of the facilities and the equipment mentioned in 6.2.1 for their intended use.		
P15 6.2.3 n1	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. (ILAC P15: 05/2020)		
6.2.4	All equipment having a significant influence on the results of the inspection shall be defined and, where appropriate, uniquely identified.		

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No.	Clause summarised	Your System Reference	Other Comment
6.2.5	All equipment (see 6.2.4) shall be maintained using documented procedures and instructions.		
6.2.6	Where appropriate, measurement equipment having a significant influence on the results of the inspection shall be calibrated before use, and then according to a programme.		
P15 6.2.6 n1	The justification for not calibrating equipment that has a significant influence on the outcome of inspection (see clause 6.2.4) shall be recorded. (ILAC P15: 05/2020)		
P15 6.2.6 n3	When appropriate (normally for the equipment covered by clause 6.2.6) the definition shall include the required accuracy and measurement range. (ILAC P15: 05/2020)		
6.2.7	Calibration of equipment so that measurements are traceable to national or international standards of measurement, where available.		
6.2.8	Reference standards of measurement held by the inspection body shall be used for calibration only <i>Facilities performing in-house calibrations in support of their accredited activities shall be required to demonstrate:</i> • <i>technical competence of these services,</i> • <i>have sufficient evidence of metrological traceability,</i> • <i>achieve the required measurement uncertainty associated with the calibration.</i>		

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No.	Clause summarised	Your System Reference	Other Comment
6.2.9	Where relevant, equipment gets in-service checks.		
P15 6.2.9 n1	Where equipment is subjected to in-service checks between regular re-calibrations, the nature of such checks, the frequency and acceptance criteria shall be defined. (ILAC P15: 05/2020)		
6.2.10	Reference materials traceable to national / international reference materials.		
6.2.11	Where relevant, procedures for: a) selection and approval of suppliers; b) verification of incoming items; c) appropriate storage facilities.		
6.2.12	Where applicable, the condition of stored items shall be assessed at appropriate intervals to detect deterioration.		
6.2.13	Computers or automated equipment: a) software is adequate for use; <i>NOTE this can be done by the following:</i> - validation of calculations before use; - periodic revalidation of hardware /software; - revalidation when changes are made to hardware or software; - software updates implemented as required. b) procedures for protecting the integrity and security of data;		

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No.	Clause summarised	Your System Reference	Other Comment
	c) equipment is maintained in order to ensure proper functioning. <i>Procedures for protecting the integrity and security of data held electronically should include, but not be limited to, effective backup practices, virus protection and password protection. This includes information issued electronically (reports, etc) as well as records held by the inspection body.</i>		
6.2.14	Procedures for dealing with defective equipment. - removed from service by segregation, labelling or marking; - consider effects on previous inspections.		
6.2.15	Equipment and software records: - Identification; - information on calibration; - information on maintenance.		

6.3 Subcontracting

6.3.1	The inspection body shall itself normally perform the contracted inspections. Demonstrate subcontractor competent, complies with relevant standards. Subcontractors do not operate under the IB management system. (see 6.1.2)		
6.3.2	Client informed of subcontracting		
6.3.3	Responsibility for any determination of conformity remains with the inspection body.		

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No.	Clause summarised	Your System Reference	Other Comment
6.3.4	Records of investigation of the competence of subcontractors and of their conformity with relevant conformity assessment standards. Register of all subcontractors.		
P15 6.3.4 n1	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. (ILAC P15: 05/2020)		

7 Process requirements

7.1 Inspection methods and procedures

7.1.1	Uses methods and procedures of the requirements. Where these are not defined, the inspection body shall develop specific methods and procedures to be used (see 7.1.3). Inform client if proposed method is considered inappropriate. <i>Proficiency testing (PT) may be used in some types of inspection where available and justified by the inclusion of testing activities that directly affect and determine the inspection result, or when required by law or by regulators.</i>		
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No.	• Clause summarised	Your System Reference	Other Comment
	where needed for effective inspection. Sufficient knowledge of statistical techniques supporting • sampling procedures; • correct data processing; interpretation of results.		
7.1.3	Non-standard methods appropriate and fully documented. <i>Non-standard methods must be appropriately validated to ensure they satisfy the intended purpose of the inspection activity.</i>		
7.1.4	All instructions, standards or written procedures, worksheets, check lists and reference data needed shall be maintained up-to-date and available.		
7.1.5	The inspection body shall have a contract or work order control system which ensures that: a) work is within its expertise and that the organization has adequate resources to meet the requirements; b) the requirements adequately defined special conditions are understood, allowing unambiguous instructions; c) work is controlled by regular review and corrective action; d) the requirements of the contract or work order have been met.		

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No.	Clause summarised	Your System Reference	Other Comment
P15 7.1.5 n2	In situations where verbal work orders are acceptable, the inspection body shall keep a record of all requests and instructions received verbally. (ILAC P15: 05/2020)		
7.1.6	Integrity of information supplied by any other party as part of the inspection process, shall be verified.		
7.1.7	Observations recorded in a timely manner to prevent information loss. <i>Digital manipulation must retain original data, record manipulations applied.</i>		
7.1.8	Calculations and data transfer checks.		
7.1.9	The inspection body shall have documented instructions for carrying out inspection in a safe manner.		

7.2 Handling inspection items and samples

7.2.1	Items and samples to be inspected are uniquely identified in order to avoid confusion regarding identity		
7.2.2	Establish whether the item to be inspected has been prepared.		
7.2.3	Abnormalities recorded. If item doubtful or not as described, client contacted		

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No.	Clause summarised	Your System Reference	Other Comment
7.2.4	Procedures and facilities to avoid deterioration or damage to items		

7.3 Inspection records

7.3.1	The inspection body shall maintain a record system (see 8.4) to demonstrate the effective fulfilment of the inspection procedures and enable an evaluation of the inspection. <i>The following are considered as inspection records:</i> a) customer requests; b) work instructions (preferably written, with all oral instructions from the client to be recorded); c) location, date and time of the inspection activity; d) all original observations (including photographs) and calculations made during an inspection; e) the identity of the staff undertaking part(s) or the whole of the inspection; f) computer data files and/or software programs; g) results of sampling, testing and/or measurements including copies of reports on sub-contracted work; h) records relating to equipment which have a significant influence on the result of the inspection activity; i) the inspection report; j) records of all discussions with customers during or after the inspection relevant to the preparation of the inspection report;.		
7.3.2	The inspection report or certificate shall be internally traceable to the inspector(s) who performed the inspection.		

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7.4 Inspection reports and inspection certificates

No.	Clause summarised	Your System Reference	Other Comment
7.4.1	The work carried out by the inspection body shall be covered by a retrievable inspection report or inspection certificate. <i>Where electronic means are used to approve an inspection report, inspection body must be able to demonstrate appropriate controls.</i> Any information normally in a hardcopy report must be included on the electronically version and appear in any hardcopy printed by recipient.		
7.4.2	Inspection reports – content Inspection reports may be simple or complex. ISO/IEC 17020 identifies the following possible elements. Items in bold are requirements of the standard; items in plain text are options identified in Annex B, items in <i>italics</i> are NATA's reporting requirements.		
	Identification of the issuing body (7.4.2 a)		
	unique identification of the report (7.4.2 b)		
	date of issue of the report; (7.4.2 b)		
	date(s) of inspection; (7.4.2 c)		
	identification of the items inspected (7.4.2 d)		
	signature or other indication of approval, by authorised personnel; (7.4.2 e)		

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No.	Clause summarised	Your System Reference	Other Comment
	a statement of conformity where applicable; (7.4.2 f)		
	inspection results except where detailed in accordance with clause 7.4.3 (7.4.2 g)		
	designation of the document, i.e. as an inspection report or an inspection certificate, (Annex B, a))		
	identification of the client; (Annex B, b)) (Note the owner of the inspected item can be mentioned in the report or certificate if the owner is not the client)		
	description of the inspection work ordered; (Annex B c))		
	information on what has been omitted from the original scope of work; (Annex B d))		
	identification or brief description of the inspection method(s) and procedure(s) mentioning deviations from, additions to or exclusions from the agreed methods and procedures; (Annex B, e))		
	identification of equipment used for measuring / testing; (Annex B f))		
	where applicable, and if not specified in the inspection method or procedure, reference to or description of the sampling methods and information on where, when, how and by whom the samples were taken; (Annex B g))		

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No.	Clause summarised	Your System Reference	Other Comment
	information on where the inspection was carried out; (Annex B, h))		
	information on environmental conditions during the inspection, if relevant; (Annex B, i))		
	a statement that the inspection results relate exclusively to the work ordered or to the items or lot inspected; (Annex B, j)		
	a statement that the inspection report should not be reproduced, except in full; (Annex B, k))		
	the inspector's mark or seal; (Annex B, l))		
	names (or unique identification) of the personnel members who have performed the inspection and in cases when secure electronic authentication is not undertaken, their signature (See also 7.4.2); (Annex B, m))		
	flexible pagination to accommodate formatting changes when printed by the recipient may also be required. (SAD ISO/IEC 17020 7.4.1)		
	the correct NATA endorsement (see NATA Rules,) including conditions under which the report may be reproduced (SAD ISO/IEC 17020 7.4.1)		

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No.	Clause summarised	Your System Reference	Other Comment
	any other information required by the client; (SAD ISO/IEC 17020 7.4.2)		
	reference to sub-contractor's attached reports (where appropriate - GAC NATA-Emblem);		
	clear identification of inspection and test data from non-accredited sources that has been utilised in the inspection (where appropriate); (GAC NATA-Emblem)		
	Abbreviated and customer-specified formats – IB ID to be reported, full data retained and record of customer requiring this format. (SAD ISO/IEC 17020 7.4.2)		
7.4.3	Certificates without results [see 7.4.2g)] only if can produce report with results, and certificate and report cross-reference each other.		
7.4.4	Reports are - correct; - accurate; - clear; - subcontractors results identified.		
7.4.5	Corrections or additions to an inspection report or inspection certificate after issue shall be recorded. Amended document identify the replaced document. <i>Must have procedures covering the withdrawal and re-issue of inspection reports.</i>		

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7.5 Complaints and appeals (C&A)

No.	Clause summarised	Your System Reference	Other Comment
7.5.1	Documented process for C&A • receive, • evaluate • decide		
7.5.2	C&A process available to any interested party on request.		
7.5.3	On receipt: • confirm relevant; and, • if so, dealt with.		
7.5.4	Responsible for all decisions at all levels of handling C&A.		
7.5.5	Investigation and decision not result in any discriminatory actions.		

7.6 Complaints and appeals process

7.6.1	a) C&A process: • receiving; • validating; • investigating the complaint or appeal, and • deciding response; b) tracking and recording C&A, and actions to resolve same; c) ensuring appropriate action taken.		
7.6.2	responsible for • gathering; • verifying information to • validate the complaint or appeal.		
7.6.3	Whenever possible the IB shall: • acknowledge receipt of the C&A • provide progress reports and • outcome.		

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No.	Clause summarised	Your System Reference	Other Comment
7.6.4	C&A decision made by, or reviewed and approved by, individual(s) not involved in the original inspection activities.		
7.6.5	Wherever possible formal notice of the end of the C&A process to the complainant or appellant.		

8 Management system requirements

8.1 Options

8.1.1	management system in accordance with either Option A or Option B.		
8.1.2	Option A – Drawing from the Standard: - System documentation (see 8.2); - Control of documents (see 8.3); - Control of records (see 8.4); - Management review (see 8.5); - Internal audit (see 8.6); - Corrective actions (see 8.7); - Preventive actions (see 8.8); - Complaints and appeals (see 7.5, 7.6).		
8.1.3	Option B –ISO 9001 Quality Management System (QMS) relevant to IB is in place. IB may use option B in clause 8.1.1 (i.e., reliance upon an ISO 9001 QMS) if: 1) The QMS is certified by a JAS-ANZ recognised certification body for QMS certification or by another signatory to the IAF MLMRA; 2) The scope of certification includes activities relevant to the NATA scope of accreditation 3) Copies of the most recent relevant certification audit reports are available for review		

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No.	Clause summarised	Your System Reference	Other Comment
	4) Demonstrable application, relevance and use of the management system to the IB. In exercising Option B note that complaints and appeals have distinct requirements set out in clauses ISO 17020 7.5 and 7.6 and that an ISO 9001-compliant QMS may not meet these requirements.		

8.2 Management system documentation (Option A)

8.2.1	Policies and objectives established, acknowledged and implemented at all levels of the organization.		
P15 8.2.1 n1	The policies and objectives shall address the competence, impartiality and consistent operation of the inspection body. (ILAC P15: 05/2020)		
8.2.2	Commitment to the development and implementation & effectiveness of the management system.		
8.2.3	A member of management responsible and authority for a) management system established, implemented and maintained; and b) reporting to top management on performance and need for improvement.		
8.2.4	All documentation, processes, systems, records, etc. related to the fulfilment of the requirements of this International Standard shall be included, referenced, or linked to documentation of the management system.		

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No.	Clause summarised	Your System Reference	Other Comment
8.2.5	All relevant personnel have access to relevant documentation and related information.		

8.3 Control of documents (Option A)

8.3.1	Procedures to control relevant documents (internal and external).		
8.3.2	Procedures address a) approve documents for adequacy prior to issue; b) review and update (as necessary) and re-approve documents; c) identify changes and current revision status; d) ensure relevant documents available; e) ensure documents legible identifiable; f) ensure external documents identified and distribution controlled; g) prevent unintended use of obsolete documents, identify obsolete documents if retained. <i>NOTE Documentation can be in any form or type of medium and includes proprietary and in-house developed software.</i> <i>Consider field notebook computers for regular update.</i>		

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8.4 Control of records (Option A)

No.	Clause summarised	Your System Reference	Other Comment
8.4.1	Procedures to define the controls for • identification; • storage; • protection; • retrieval; • retention time and • disposition of its records.		
P15 8.4.1 n1	This requirement means that all records needed to demonstrate compliance with the requirements of the standard shall be established and retained. (ILAC P15: 05/2020)		
8.4.2	Procedures for retaining records Access to these records shall be consistent with the confidentiality arrangements. <i>All records retained for at least four years.</i> <i>State /contract may specify longer periods.</i> <i>The inspection body should also be aware of any client requirements regarding records storage.</i>		

8.5 Management review (Option A)

8.5.1	General		
8.5.1.1	Review management system to ensure • continuing suitability, • adequacy and • effectiveness, • covering the stated policies and objectives.		
8.5.1.2	Annual review or rolling review.		

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No.	Clause summarised	Your System Reference	Other Comment
8.5.1.3	Records of reviews shall be maintained.		
8.5.2	Review inputs		
	Input shall include: a) results of internal and external audits; b) feedback from clients and interested parties related to the fulfilment of this International Standard; c) the status of preventive and corrective actions; d) follow-up actions from previous management reviews; e) the fulfilment of objectives; f) changes that could affect the management system; g) appeals and complaints.		
8.5.3	Review outputs		
	Outputs from management review shall include decisions and actions related to: a) improvement of the effectiveness of the management system and its processes; b) improvement of the inspection body related to the fulfilment of this International Standard; c) resource needs.		

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8.6 Internal audits (Option A)

No.	Clause summarised	Your System Reference	Other Comment
8.6.1	Procedures for internal audits to verify it fulfils this International Standard and that the management system is effectively implemented and maintained.		
8.6.2	Planned audit programme considering - importance of the processes/ areas to be audited; - results of previous audits.		
8.6.3	Periodic internal audits covering all procedures in a planned and systematic manner.		
8.6.4	Start with every 12 months. Adjust based on findings and stability.		
P15 8.6.4 n1	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 inspection activities are managed or performed. (ILAC P15: 05/2020)		
P15 8.6.4 n1	The inspection body shall justify the choice of audit frequency for different types of requirements, fields of inspection and premises as part of audit planning performed. (ILAC P15: 05/2020)		
8.6.5	The inspection body shall ensure that: a) auditors suitably qualified;		

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No.	Clause summarised	Your System Reference	Other Comment
	b) auditors do not audit their own work; c) audit outcomes are fed-back; d) any outcome actions are timely appropriately done; e) any opportunities for improvement are identified; f) the results of the audit are documented.		

8.7 Corrective actions (Option A)

8.7.1	Procedures to identify & manage nonconformities.		
8.7.2	Take actions to eliminate the causes of nonconformities to prevent recurrence.		
8.7.3	Corrective actions shall be appropriate to the impact of the problems encountered.		
8.7.4	The procedures shall define requirements for the following: a) identifying nonconformities; b) determining causes; c) correcting nonconformities; d) evaluate need for preventive actions; e) determining the actions needed and implementing them in a timely manner; f) recording the results of actions taken; g) reviewing the effectiveness of corrective actions.		

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8.8 Preventive actions (Option A)

No.	Clause summarised	Your System Reference	Other Comment
8.8.1	Procedures for preventive actions.		
8.8.2	Preventive actions taken appropriate to probable impact of problem.		
8.8.3	The procedures address: a) identifying potential nonconformities and their causes; b) evaluating the need for action; c) determining and implementing the action needed; d) recording the results of actions taken; e) reviewing the effectiveness of the preventive actions taken. <i>NOTE The procedures for corrective and preventive actions do not necessarily have to be separate.</i>		