



IECRE OPERATIONAL DOCUMENT

IEC System for Certification to Standards relating to Equipment for use in Renewable Energy applications (IECRE System)

Inspection Body Assessment Report

Confidential to the Members

PV-OMC/ / (assigned by the Secretariat on finalization)

Inspection Body:

Fill in with complete Legal Entity name of the Inspection Body and country of domicile.

Date of assessment: yyyy-mm-dd

The aim of this document is to provide guidance for Assessors undertaking Inspection Body assessments and completing form OD-XXX Inspection Body Assessment Report.

Note: orange text is guidance text and should be removed before the report is finalized and submitted to the Secretariat.



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1 Object and field of assessment

1.1 Object

Assessment covering	IECRE Assessment	Unified Assessment	Accreditation Body	Scope of Accreditation
Initial Assessment (IAR)	<input type="checkbox"/>	<input type="checkbox"/>		
Extension of Scope (EAR)	<input type="checkbox"/>	<input type="checkbox"/>		
Re-Assessment (RAR)	<input type="checkbox"/>	<input type="checkbox"/>		
Follow-up Assessment (FAR)	<input type="checkbox"/>	<input type="checkbox"/>		

1.2 Energy Sector

1.2.1 Energy Sector covered by the assessment

Please cross (X) as appropriate and refer to Annex 1 for a complete list of the scope of the assessment containing details of the relevant IEC Standards and relevant experience including editions and amendments.

<input type="checkbox"/> Marine Energy	<input type="checkbox"/> Solar PV Energy	<input type="checkbox"/> Wind Energy
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1.3 Previous Assessment Report (if applicable)

Previous Assessment Report Number	PV -OMC/ /
Previous Assessment Date	yyyy-mm-dd

1.4 Complete legal entity name and address of the Inspection Body

If the Inspection Body is already an accepted IECRE REIB and the assessment is a Scope extension the box "Accepted" should be checked.

Type	Candidate	Accepted
REIB	<input type="checkbox"/>	<input type="checkbox"/>

Legal Entity Name	
Address	
Contact Person	
Email	
Tel	
Mobile	
Fax	
Website	



1.5 Members of the Assessment Team

	Name	Organisation
Lead Assessor		
Assessor		
Assessor		

1.6 Place(s) and date(s) of Assessment

If multiple buildings include all addresses, such as: ABC Inspection Body in City A together with DEF Inspection Body in City D.

Main location(s)	
If applicable, other location(s)	

1.7 Assessment Base

- IEC CA 01 IEC Conformity Assessment Systems – Basic Rules
- IECRE 01-S IECRE Supplement to IEC CA 01
- IECRE Rules of Procedure
- IECRE ODs
- IEC Standards as noted in Annex 1
- ISO/IEC 17020

The above documents are to be based upon the latest published editions

2 Organisation

2.1 Brief history of the Inspection Body

Include information about the legal entity of the Inspection Body and ownership.



2.2 National Inspection Marks, Certificates & Programmes

Show/briefly describe the national Inspection mark(s) owned, controlled or licensed by the Inspection Body and which can be issued by that body on the basis of valid IECRE certificates / test reports.

Specify whether the national Inspection mark/certificate is owned by the REIB or by an external organisation

Describe the situation regarding registration of the national Inspection mark in the REIB's country (ies) of operation as an Inspection body.

2.3 Financial support

Include information about how the Inspection body receives its financial support, particularly if from other sources than fees from clients. Briefly describe the structure of the financial operation of the organisation.

2.4 Organisation of the Inspection Body

Include information relevant to the organisation of the Inspection Body pertaining to the operated Energy Sector(s).

If the quality management system is such that the Quality Manual and/or Quality Procedure include one or more organization charts then this could be attached as an appendix to the Assessment Report.



3 Personnel Structure

When the declared years of experience is low, the assessment team should make a professional judgment based upon interviews on the awareness and knowledge of the standards, witnessing of Test Report review, witnessing of testing and measuring as well as CV information e.g. previous employments and function, training programmes completed.

3.1 Employees

Number of overall people employed by the legal entity of the Inspection Body	
Number of people involved with the Inspection activity within the scope of this assessment	

3.2 Responsible Managers for Inspection

Name	Position (title) and field of expertise	Years of relevant experience	Experience checked & appropriate		To whom do they report?
			Yes	No	
			<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	

3.3 Principal staff involved in Inspection

Name	Position (title) and field of expertise	Years of relevant experience	Experience checked & appropriate		To whom do they report?
			Yes	No	
			<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	



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3.4 Staff involved in the Quality Management System of the Inspection Body

Name	Position (title) and field of expertise	Years of relevant experience	Experience checked & appropriate		To whom does the quality management system staff report?
			Yes	No	
			<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	

3.5 Assessment of staff competence

Briefly describe how the competence was assessed e.g. interview, CV check, demonstration of Inspection decisions, knowledge of the standard, reviewing of the Test Reports, etc.

4 Quality Management System

Briefly describe the structure of the quality system, its documentation and degree of implementation, and how it is checked for compliance with ISO/IEC 17020.

State whether reports from external/internal audits, management reviews and corrective action processes have been reviewed and other relevant items from ISO/IEC 17020.

In any case the ODs, clarification sheets, and the Rules of Procedure of the relevant Energy Sector should be assessed in order to verify that they are duly included in the quality management system and implemented in practise and effective.

Structure of the Quality System

Briefly describe the structure of the quality system, its documentation and degree of implementation, and how it is checked for compliance with ISO/IEC 17020. State whether reports from external/internal audits, management reviews and corrective action processes have been reviewed and other relevant items from ISO/IEC 17020.

In all cases the IECRE Rules of Procedure should be assessed in order to verify that they are duly included in the quality management system and implemented in practice and effective. This assessment may include, but is not limited to, e.g. Operational Documents, Clarification Sheets, process of Document control and provision to use the appropriate IEC Standards, etc.



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	Yes	No	N/A
Is the Inspection Body accredited by a reputable Accreditation Body? <i>If the REIB apply through the clause 5.6. of iecre-04, accreditation scope of IAF member shall be included into the assessment report.</i>	<input type="checkbox"/>	<input type="checkbox"/>	
Does the accreditation include the standards covered by this assessment? <i>If the RECB apply through the clause 5.6. of iecre-04, accreditation scope of IAF member shall be included and highlighted the standard than cover this clause. In case than the company not has the standard include into their scope the approval shall be in standby until they send the accreditation scope but he application is accepted into the deadline of clause 5.6 of iecre-04 (June 2017).</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Structure of the Quality System

A figure of Quality system is preferred.

General requirements
Example: ISO/IEC 17020 4.1 Impartiality and independence, 4.2 Confidentiality

Refer to ISO/IEC 17020	Related standard text	Where is the implementation of this requirement documented?	Assessors check		
			Y	N	N/A
4.1	Impartiality and independence				
4.1.1	Inspection activities shall be undertaken impartially.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.1.2	The inspection body (IB) shall be responsible for impartiality of inspection activities and shall not allow commercial, financial or other pressures not to compromise impartiality.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.1.3	The IB shall identify risks to its impartiality on an ongoing basis. This shall include those risks that arise from its activities, or from its relationships, or from the relationships of its personnel. However, such relationships do not necessarily present an IB with a risk to impartiality. NOTE A relationship that threatens the impartiality of the IB can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing (including branding), and payment of a sales commission or other inducement for the referral of new clients, etc.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.1.4	If a risk to impartiality is identified, the IB shall be able to demonstrate how it eliminates or minimizes such risk.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.1.5	The IB shall have top management commitment to impartiality.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.1.6	The IB shall be independent to the extent that is required with regard to the conditions under which it performs its services. Depending on these conditions, it shall meet		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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	<p>the minimum requirements stipulated in Annex A, as outlined below.</p> <p>a) An IB providing third party inspections shall meet the type A requirements of Clause A.1 (third party IB).</p> <p>b) An IB providing first party inspections, second party inspections, or both, which forms a separate and identifiable part of an organization 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 (in-house IB) shall meet the type B requirements of Clause A.2.</p> <p>c) An IB providing first party inspections, second party inspections, or both, which forms an identifiable but not necessarily a separate part of an organization 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 to other parties, or to both, shall meet the type C requirements of Clause A.3.</p>				
4.2	Confidentiality				
4.2.1	<p>The IB shall be responsible, through legally enforceable commitments, for the management of all information obtained or created during the performance of inspection activities. The IB shall inform the client, in advance, of the information it intends to place in the public domain. Except for information that the client makes publicly available, or when agreed between the IB and the client (e.g. for the purpose of responding to complaints), all other information is considered proprietary information and shall be regarded as confidential.</p> <p>NOTE Legally enforceable commitments can be, for example, contractual agreements.</p>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.2.2	<p>When the IB is required by law or authorized by contractual commitments to release confidential information, the client or individual concerned shall, unless prohibited by law, be notified of the information provided.</p>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.2.3	<p>Information about the client obtained from sources other than the client (e.g. complainant, regulators) shall be treated as confidential.</p>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Structural requirements
 Example: ISO/IEC 17020 5.1 Administrative requirements, 5.2 Organization and management

Refer to ISO/IEC 17020	Related standard text	Where is the implementation of this requirement documented?	Assessors check		
			Y	N	N/A
5.1	Administrative requirements				
5.1.1	The IB shall be a legal entity, or a defined part of a legal entity, such that it can be held legally responsible for all its inspection activities. NOTE A governmental IB is deemed to be a legal entity on the basis of its governmental status.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.1.2	An IB that is part of a legal entity involved in activities other than inspection shall be identifiable within that entity.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.1.3	The IB shall have documentation which describes the activities for which it is competent.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.1.4	The IB shall have adequate provision (e.g. insurance or reserves) to cover liabilities arising from its operations. NOTE The liability can be assumed by the State in accordance with national laws, or by the organization of which the IB forms a part.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.1.5	The IB shall have documentation describing the contractual conditions under which it provides the inspection, except when it provides inspection services to the legal entity of which it is a part.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.2	Organization and management				
5.2.1	The IB shall be structured and managed so as to safeguard impartiality.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.2.2	The IB shall be organized and managed so as to enable it to maintain the capability to perform its inspection activities. NOTE Inspection schemes can require that the IB participates in the exchange of technical experience with other IB in order to maintain this capability.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.2.3	The IB shall define and document the responsibilities and reporting structure of the organization.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.2.4	Where the IB forms a part of a legal entity performing other activities, the relationship between these other activities and inspection activities shall be defined.				
5.2.5	The IB shall have available one or more person(s) as technical manager(s) who have overall responsibility to ensure that the inspection activities are carried out in accordance with this International Standard. NOTE This person fulfilling this function		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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	<p>does not always have the title of technical manager. The person(s) fulfilling this function shall be technically competent and experienced in the operation of the IB. Where the IB has more than one technical manager, the specific responsibilities of each manager shall be defined and documented.</p>				
5.2.6	The IB shall have one or more named person(s) who will deputize in the absence of any technical manager responsible for ongoing inspection activities.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.2.7	The IB shall have a job description or other documentation for each position category within its organization involved in inspection activities.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Resource requirements

Example: ISO/IEC 17020 6.1 Personnel, 6.2 Facilities and equipment 6.3. Subcontracting

Refer to ISO/IEC 17020	Related standard text	Where is the implementation of this requirement documented?	Assessors check		
			Y	N	N/A
6.1	Personnel				
6.1.1	<p>The IB shall define and document the competence requirements for all personnel involved in inspection activities, including requirements for education, training, technical knowledge, skills and experience.</p> <p>NOTE The competence requirements can be part of the job description or other documentation mentioned in 5.2.7.</p>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.2	The IB shall employ, or have contracts with, a sufficient number of persons with the required competencies, including, where needed, the ability to make professional judgements, to perform the type, range and volume of its inspection activities.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.3	The personnel responsible for inspection shall have appropriate qualifications, training, experience and a satisfactory knowledge of the requirements of the inspections to be carried out. They shall also		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



	<p>have relevant knowledge of the following:</p> <ul style="list-style-type: none"> - 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 services. - They shall 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. 				
6.1.4	The IB shall make clear to each person their duties, responsibilities and authorities.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.5	The IB shall have documented procedures for selecting, training, formally authorizing, and monitoring inspectors and other personnel involved in inspection activities.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.6	<p>The documented procedures for training (see 6.1.5) shall address the following stages:</p> <p>a) an induction period; b) a mentored working period with experienced inspectors; c) continuing training to keep pace with developing technology and inspection methods.</p>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.7	The training required shall depend upon the ability, qualifications and experience of each inspector and other personnel involved in inspection activities, and upon the results of monitoring (see 6.1.8).		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.8	<p>Personnel familiar with the inspection methods and procedures shall monitor all inspectors and other personnel involved in inspection activities for satisfactory performance. Results of monitoring shall be used as a means of identifying training needs (see 6.1.7).</p> <p>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.</p>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.9	<p>Each inspector shall be observed on-site, unless there is sufficient supporting evidence that the inspector is continuing to perform competently.</p> <p>NOTE It is expected that on-site</p>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



	observations are performed in a way that minimizes the disturbance of the inspections, especially from the client's viewpoint.				
6.1.10	The IB shall maintain records of monitoring, education, training, technical knowledge, skills, experience and authorization of each member of its personnel involved in inspection activities.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.11	The personnel involved in inspection activities shall not be remunerated in a way that influences the results of inspections.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.12	All personnel of the IB, either internal or external, that could influence the inspection activities shall act impartially.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.13	All personnel of the IB, including sub-contractors, personnel of external bodies, and individuals acting on the IB's behalf, shall keep confidential all information obtained or created during the performance of the inspection activities, except as required by law.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2	Facilities and equipment				
6.2.1	<p>The IB shall 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.</p> <p>NOTE the IB need not be the owner of the facilities or equipment that it uses. Facilities and equipment can be borrowed, rented, hired, leased or provided by another party (e.g. the manufacturer or installer of the equipment). However, the responsibility for the suitability and the calibration status of the equipment used in inspection, whether owned by the IB or not, lies solely with the IB.</p>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.2	The IB shall have rules for the access to, and the use of, specified facilities and equipment used to perform inspections.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.3	The IB shall ensure the continued suitability of the facilities and the equipment mentioned in 6.2.1 for their intended use.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.4	All equipment having a significant influence on the results of the inspection shall be defined and, where appropriate, uniquely identified		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.5	All equipment (see 6.2.4) shall be maintained in accordance with documented procedures and instructions.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.6	Where appropriate, measurement equipment having a significant influence on the results of the inspection shall be calibrated before being put into service, and thereafter calibrated according to an established programme.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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6.2.7	The overall programme of calibration of equipment shall be designed and operated so as to ensure that, wherever applicable, measurements made by the IB are traceable to national or international standards of measurement, where available. Where traceability to national or international standards of measurement is not applicable, the IB shall maintain evidence of correlation or accuracy of inspection results.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.8	Reference standards of measurement held by the IB shall be used for calibration only and for no other purpose. Reference standards of measurement shall be calibrated providing traceability to a national or international standard of measurement.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.9	Where relevant, equipment shall be subjected to in-service checks between regular recalibrations.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.10	Reference materials shall, where possible, be traceable to national or international reference materials, where they exist.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.11	Where relevant for the outcome of inspection activities, the IB shall have procedures for the following: - selection and approval of suppliers; - verification of incoming goods and services; - ensuring appropriate storage facilities.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.12	Where applicable, the condition of stored items shall be assessed at appropriate intervals to detect deterioration.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.13	If the IB uses computers or automated equipment in connection with inspections, it shall ensure that: a) computer software is adequate for use; NOTE This can be done by the following: - validation of calculations before use; - periodic revalidation of related hardware and software; - revalidation whenever changes are made to related hardware or soft-ware; - software updates implemented as required. b) procedures are established and implemented for protecting the integrity and security of data; c) computer and automated equipment is maintained in order to ensure proper functioning.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.14	The IB shall have documented procedures for dealing with defective equipment. Defective equipment shall be removed from service by segregation, prominent labelling or marking. The IB shall examine the effect of defects on previous inspections and, when necessary, take appropriate corrective action.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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6.2.15	Relevant information on the equipment, including software, shall be recorded. This shall include identification and, where appropriate, information on calibration and maintenance.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3	Subcontracting				
6.3.1	<p>The IB shall itself normally perform the inspections that it contracts to undertake. Where an IB subcontracts any part of the inspection, it shall ensure and be able to demonstrate that 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.</p> <p>NOTE 1 Reasons to subcontract can include the following:</p> <ul style="list-style-type: none"> - an unforeseen or abnormal overload; - key inspection staff members being incapacitated; - key facilities or items of equipment being temporarily unfit for use; - part of the contract from the client involving inspection not covered by the IB's scope or being beyond the capability or resources of the IB. <p>NOTE 2 The terms “subcontracting” and “outsourcing” are considered to be synonyms.</p> <p>NOTE 3 Where the IB engages individuals or employees of other organizations to provide additional resources or expertise, these individuals are not considered to be subcontractors provided they are formally contracted to operate under the IB's management system (see 6.1.2).</p>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.2	The IB shall inform the client of its intention to subcontract any part of the inspection.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.3	Whenever subcontractors carry out work that forms part of an inspection, the responsibility for any determination of conformity of the inspected item with the requirements shall remain with the IB.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.4	The IB shall record and retain details of its investigation of the competence of its subcontractors and of their conformity with the applicable requirements of this International Standard or in other relevant conformity assessment standards. The IB shall maintain a register of all subcontractors		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Process requirements
 Example: ISO/IEC 17020 7.1 Inspection methods and procedures, 7.2 Handling inspection items and samples, 7.3 Inspection records, 7.4



Inspection reports and inspection certificates, 7.5 Complaints and appeals, 7.6 Complaints and appeals process

Refer to ISO/IEC 17020	Related standard text	Where is the implementation of this requirement documented?	Assessors check		
			Y	N	N/A
7.1	Inspection methods and procedures				
7.1.1	<p>The IB shall use the methods and procedures for inspection which are defined in the requirements against which inspection is to be performed. Where these are not defined, the IB shall develop specific methods and procedures to be used (see 7.1.3). The IB shall inform the client if the inspection method proposed by the client is considered to be inappropriate.</p> <p>NOTE The requirements against which the inspection is performed are normally specified in regulations, standards or specifications, inspection schemes or contracts. Specifications can include client or in-house requirements.</p>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.1.2	<p>The IB shall have and shall 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. Where applicable, the IB shall have sufficient knowledge of statistical techniques to ensure statistically sound sampling procedures and the correct processing and interpretation of results.</p>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.1.3	<p>When the IB has to use inspection methods or procedures which are non-standard, such methods and procedures shall be appropriate and fully documented.</p> <p>NOTE A standard inspection method is one that has been published, for example, in international, regional or national standards, or by reputable technical organizations or by co-operation of several inspection bodies or in relevant scientific text or journals. This means that methods developed by any other means, including by the IB itself or by the client, are considered to be non-standard methods.</p>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.1.4	<p>All instructions, standards or written procedures, worksheets, check lists and reference data relevant to the work of the IB shall be maintained up-to-date and be readily available to the personnel.</p>				
7.1.5	<p>The IB shall have a contract or work order control system which ensures that:</p> <p>a) work to be undertaken is within its expertise and that the organization has</p>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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	<p>adequate resources to meet the requirements; NOTE Resources can include, but are not limited to, facilities, equipment, reference documentation, procedures or human resources.</p> <p>b) the requirements of those seeking the IB's services are adequately defined and that special conditions are understood, so that unambiguous instructions can be issued to personnel performing the duties to be required;</p> <p>c) work being undertaken is controlled by regular review and corrective action;</p> <p>d) the requirements of the contract or work order have been met.</p>				
7.1.6	When the IB uses information supplied by any other party as part of the inspection process, it shall verify the integrity of such information.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.1.7	Observations or data obtained in the course of inspections shall be recorded in a timely manner so as to prevent loss of relevant information.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.1.8	Calculations and data transfers shall be subject to appropriate checks. NOTE Data can include textual material, digital data and anything else that is transferred from one location to another where errors could be introduced.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.1.9	The IB shall have documented instructions for carrying out inspection in a safe manner.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.2	Handling inspection items and samples				
7.2.1	The IB shall ensure items and samples to be inspected are uniquely identified in order to avoid confusion regarding the identity of such items and samples.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.2.2	The IB shall establish whether the item to be inspected has been prepared.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.2.3	Any apparent abnormalities notified to, or noticed by, the inspector shall be recorded. Where there is any doubt as to the item's suitability for the inspection to be carried out, or where the item does not conform to the description provided, the IB shall contact the client before proceeding.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.2.4	The IB shall have documented procedures and appropriate facilities to avoid deterioration or damage to inspection items while under its responsibility.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.3	Inspection records				
7.3.1	The IB shall maintain a record system (see 8.4) to demonstrate the effective fulfilment of the inspection procedures and to enable an evaluation of the inspection.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.3.2	The inspection report or certificate shall be		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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	internally traceable to the inspector(s) who performed the inspection.				
7.4	Inspection reports and inspection certificates				
7.4.1	The work carried out by the IB shall be covered by a retrievable inspection report or inspection certificate.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.4.2	Any inspection report/certificate shall include all of the following: a) identification of the issuing body; b) unique identification and date of issue; c) date(s) of inspection; d) identification of the item(s) inspected; e) signature or other indication of approval, by authorized personnel; f) a statement of conformity where applicable; g) the inspection results, except where detailed in accordance with 7.4.3. NOTE Optional elements that can be included in inspection reports or certificates are listed in Annex B.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.4.3	An IB shall issue an inspection certificate that does not include the inspection results [see 7.4.2 g)] only when the IB can also produce an inspection report containing the inspection results, and when both the inspection certificate and inspection report are traceable to each other.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.4.4	All information listed in 7.4.2 shall be reported correctly, accurately, and clearly. Where the inspection report or inspection certificate contains results supplied by subcontractors, these results shall be clearly identified.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.4.5	Corrections or additions to an inspection report or inspection certificate after issue shall be recorded in accordance with the relevant requirements of this sub-clause (7.4). An amended report or certificate shall identify the report or certificate replaced.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.5	Complaints and appeals				
7.5.1	The IB shall have a documented process to receive, evaluate and make decisions on complaints and appeals.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.5.2	A description of the handling process for complaints and appeals shall be available to any interested party upon request.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.5.3	Upon receipt of a complaint, the IB shall confirm whether the complaint relates to inspection activities for which it is responsible and, if so, shall deal with it.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.5.4	The IB shall be responsible for all decisions at all levels of the handling process for complaints and appeals.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.5.5	Investigation and decision on appeals shall not result in any discriminatory actions.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.6	Complaints and appeals process				
7.6.1	The handling process for complaints and		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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	<p>appeals shall include at least the following elements and methods:</p> <p>a) 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;</p> <p>b) tracking and recording complaints and appeals, including actions undertaken to resolve them;</p> <p>c) ensuring that any appropriate action is taken.</p>				
7.6.2	The IB receiving the complaint or appeal shall be responsible for gathering and verifying all necessary information to validate the complaint or appeal.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.6.3	Whenever possible, the IB shall acknowledge receipt of the complaint or appeal, and shall provide the complainant or appellant with progress reports and the outcome.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.6.4	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.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.6.5	Whenever possible, the IB shall give formal notice of the end of the complaint and appeals handling process to the complainant or appellant.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Management system requirements

Example: ISO/IEC 17020 8.2 General management system documentation, 8.3 Control of documents, 8.4 Control of records, 8.5 Management review, 8.6 Internal audits, 8.7 Corrective actions, 8.8 Preventive actions

Refer to ISO/IEC 17020	Related standard text	Where is the implementation of this requirement documented?	Assessors check		
			Y	N	N/A
8.1	Options				
8.1.1	The IB shall establish and maintain a management system that is capable of achieving the consistent fulfilment of the requirements of this International Standard in accordance with either Option A or Option B.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.1.2	<p>Option A</p> <p>The management system of the IB shall address the following:</p> <ul style="list-style-type: none"> - management system documentation (e.g. manual, policies, definition of responsibilities, 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 and 		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



	7.6).				
8.1.3	<p>Option B</p> <p>An IB that has established and maintains a management system, in accordance with the requirements of ISO 9001, and that is capable of supporting and demonstrating the consistent fulfilment of the requirements of this International Standard, fulfils the management system clause requirements (see 8.2 to 8.8).</p>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.2	Management system documentation (Option A)				
8.2.1	The IB's top management shall establish, document, and maintain policies and objectives for fulfilment of this International Standard and shall ensure the policies and objectives are acknowledged and implemented at all levels of the IB's organization.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.2.2	The top management shall provide evidence of its commitment to the development and implementation of the management system and its effectiveness in achieving consistent fulfilment of this International Standard.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.2.3	The IB's top management shall appoint a member of management who, irrespective of other responsibilities, shall have responsibility and authority that include the following: a) ensuring that processes and procedures needed for the management system are established, implemented and maintained; and b) reporting to top management on the performance of the management system and any need for improvement.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.2.5	All personnel involved in inspection activities shall have access to the parts of the management system documentation and related information that are applicable to their responsibilities.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.3	Control of documents (Option A)				
8.3.1	The IB shall establish procedures to control the documents (internal and external) that relate to the fulfilment of this International Standard.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.3.2	The procedures shall define the controls needed to: a) approve documents for adequacy prior to issue; b) review and update (as necessary) and re-approve documents; c) ensure that changes and the current revision status of documents are		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



	<p>identified;</p> <p>d) ensure that relevant versions of applicable documents are available at points of use;</p> <p>e) ensure that documents remain legible and readily identifiable;</p> <p>f) ensure that documents of external origin are identified and their distribution controlled;</p> <p>g) prevent the unintended use of obsolete documents, and apply suitable identification to them if they are retained for any purpose.</p> <p>NOTE Documentation can be in any form or type of medium, and includes proprietary and in-house developed software.</p>				
8.4	Control of records (Option A)				
8.4.1	The IB shall establish procedures to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of its records related to the fulfilment of this International Standard.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.4.2	The IB shall establish procedures for retaining records for a period consistent with its contractual and legal obligations. Access to these records shall be consistent with the confidentiality arrangements.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.5	Management review (Option A)				
8.5.1.1	The IB's top management shall establish 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 related to the fulfilment of this International Standard.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.5.1.2	These reviews shall be conducted at least once a year. Alternatively, a complete review broken up into segments (a rolling review) shall be completed within a 12-month time frame.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.5.1.3	Records of reviews shall be maintained.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.5.2	<p>Review inputs</p> <p>The input to the management review shall include information related to the following:</p> <p>a) results of internal and external audits;</p> <p>b) feedback from clients and interested parties related to the fulfilment of this International Standard;</p> <p>c) the status of preventive and corrective actions;</p> <p>d) follow-up actions from previous management reviews;</p> <p>e) the fulfilment of objectives;</p> <p>f) changes that could affect the management system;</p> <p>g) appeals and complaints.</p>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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8.5.3	Review outputs The outputs from the 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 IB related to the fulfilment of this International Standard; c) resource needs.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.6	Internal audits (Option A)				
8.6.1	The IB shall establish procedures for internal audits to verify that it fulfils the requirements of this International Standard and that the management system is effectively implemented and maintained. NOTE ISO 19011 provides guidelines for conducting internal audits.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.6.2	An audit programme shall be planned, taking into consideration the importance of the processes and areas to be audited, as well as the results of previous audits.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.6.3	The IB shall conduct periodic internal audits covering all procedures in a planned and systematic manner, in order to verify that the management system is implemented and is effective.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.6.4	Internal audits shall be performed at least once every 12 months. The frequency of internal audits may be adjusted depending on the demonstrable effectiveness of the management system and its proven stability.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.6.5	The IB shall ensure that: a) internal audits are conducted by qualified personnel knowledgeable in inspection, auditing and the requirements of this International Standard; b) auditors do not audit their own work; c) personnel responsible for the area audited are informed of the outcome of the audit; d) any actions resulting from internal audits are taken in a timely and appropriate manner; e) any opportunities for improvement are identified; f) the results of the audit are documented.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.7	Corrective actions (Option A)				
8.7.1	The IB shall establish procedures for identification and management of nonconformities in its operations.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.7.2	The IB shall also, where necessary, take actions to eliminate the causes of nonconformities in order to prevent recurrence.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.7.3	Corrective actions shall be appropriate to the impact of the problems encountered.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.7.4	The procedures shall define requirements		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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	<p>for the following:</p> <ul style="list-style-type: none"> a) identifying nonconformities; b) determining the causes of nonconformity; c) correcting nonconformities; d) evaluating the need for actions to ensure that nonconformities do not recur; d) 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. 				
8.8	Preventive actions (Option A)				
8.8.1	The IB shall establish procedures for taking preventive actions to eliminate the causes of potential nonconformities.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.8.2	Preventive actions taken shall be appropriate to the probable impact of the potential problems.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.8.3	<p>The procedures for preventive actions shall define requirements for the following:</p> <ul style="list-style-type: none"> a) identifying potential nonconformities and their causes; b) evaluating the need for action to prevent the occurrence of nonconformities; c) determining and implementing the action needed; d) recording the results of actions taken; e) reviewing the effectiveness of the preventive actions taken. <p>NOTE The procedures for corrective and preventive actions do not necessarily have to be separate.</p>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

IECRE Rules of Procedure
Collaboration of IECRE 02 ed2.0 and IECRE 04 ed1.0 of body's QMS.
IECRE Operational Documents
Description of relevant ODs application in the body's QMS.
Clarification Sheets



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n/a
Use of appropriate IEC standards
IEC 62446-1 is a mandatory requirement in this part.
Current IECRE decisions
Description of IECRE decisions



5 Training

Briefly describe if the Inspection Body has documented procedures for training in each field of the Inspection Body's competence relevant to its scope for which the body is assessed (ISO/IEC 17020, Sub-clauses 6.1.).

Indicate if the records of training were checked.

6 Inspection files reviewed during the assessment

If the REIB is applying through clause 5.6 of the iecer-04, 3 finished projects shall be reviewed. These projects shall be in accordance with the standards through the REIB apply (i.e. IEC 62446-1 is into the scope of the RECB and the projects are certified according IEC 62446-1).

7 Number of Non-Conformity Reports issued

Number of NCRs appended	
-------------------------	--



8 Recommendations of the Assessment Team

This assessment has been a sampling exercise and thus every aspect of the Inspection Body's activities has not been covered. It does not follow, therefore, that non-conformances do not exist in areas where none have been reported in this assessment report.

Standard recommendations:

1. The Assessment Team recommends acceptance of the assessed organisation for the scope(s) as reported in Annex 1 of this Assessment Report as appropriate.	<input type="checkbox"/>
2. The Assessment Team recommends acceptance of the assessed organisation for the scope(s) as reported in Annex 1 of this Assessment Report, subject to clearance of the outstanding Non-conformity Reports as appropriate.	<input type="checkbox"/>
3. The Assessment Team recommends that the acceptance of the assessed organisation is postponed until a further follow-up assessment is carried out and is found satisfactory.	<input type="checkbox"/>
4. Other, please specify using similar terminology	<input type="checkbox"/>

8.1 Additional Information



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9 Signatures of the Assessment Team

Date: yyyy-mm-dd

	Printed name	Signature
Lead Assessor		
Assessor		
Assessor		

10 Acknowledgement by the assessed organization

- We acknowledge and agree with the content of the Assessment Report.
- We acknowledge the content of the Assessment Report and we disagree for the following reasons:

Date: yyyy-mm-dd

	Printed name	Signature
Inspection Body Representative		



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Annex A Assessment Scope

Type of assessment (IAR, EAR, FAR, RAR)

Indicate for each standard the type of assessment being conducted as a part of this report.

Standard:

The assessment team completes this section with the standard(s) selected for this assessment. List the standards in the Inspection Body scope, including the editions and amendments.

Number of test certificates issued during the last three years and the number of test certificates reviewed during the assessment:

The Inspection Body should provide this information during the assessment. Test Certificates completed can also include certificates based on the equivalent National Standard. If the RECB apply through the clause 5.6 of iecre-04 3 finished projects shall be evaluated during the assessment. If the number of projects is less of 3 the company cannot apply through this clause.

Sufficient expertise demonstrated:

The assessment team completes this section based upon the on-site assessment. Where insufficient experience is demonstrated the "No" box shall be checked.

Example:

Type of assessment (IAR, EAR, FAR, RAR)	Standard	Number Test Certificates issued during the last three years / test certificates reviewed during the assessment	Sufficient expertise demonstrated	
			Yes	No
RAR	IEC/TS 62600-10:2015	5 / 2	<input checked="" type="checkbox"/>	<input type="checkbox"/>
EAR	IEC 61215:2005	9 / 4	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Inspection experience for national/regional standards that are reasonably harmonized with the equivalent IEC standard can be counted as experience if no experience can be demonstrated for the IEC standard. This shall be clearly indicated by adding an asterisk after the number for test certificates issued, for example:

Type of assessment (IAR, FAR, EAR, RAR)	Standard	Number Test Certificates issued during the last three years* / test certificates reviewed during the assessment	Sufficient expertise demonstrated	
			Yes	No
IAR	IEC 61400-12-1:2005	3* / 1	<input checked="" type="checkbox"/>	<input type="checkbox"/>

* experience also includes equivalent national/regional standards.

Type of assessment (IAR, EAR, FAR, RAR)	Standard	Number of Test Certificates issued during the last three years / test certificates reviewed during the assessment	Sufficient expertise demonstrated	
			Yes	No
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>

Note: For the organisation's full scope please see the IECRE Website



Inspection Body Assessment Report	PV-OMC/ /
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Annex B Organisation chart

Include the relevant organization chart(s) here.



Inspection Body Assessment Report	PV-OMC/ /
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Annex C Accreditation Certificate relevant to the IECRE operations

Include the relevant accreditation certificate(s) here.



Annex D “Independence and impartiality” including “Commercial consultancy”

Note: This Annex applies only to REIBs which have not already been assessed against it. If this Annex has been completed at least once and the organization is accredited according to ISO/IEC 17020, this Annex does not have to be completed again, except for clause 0.

0. Compliance with ISO/IEC 17020	Yes	No
The IB has a valid accreditation to ISO/IEC 17020.	<input type="checkbox"/>	<input type="checkbox"/>

1. General Operating Procedure	Yes	No
Does the Inspection Body have a documented procedure for independence and impartiality that as a minimum includes the following while carrying out conformity assessment activities: a) to be objective, b) to identify, avoid, mitigate and manage conflicts of interest, and c) to ensure independence, so as to increase the amount of trust, confidence and value that those activities have in the market place	<input type="checkbox"/>	<input type="checkbox"/>
Document title: _____	Document number: _____	

2. Reference Document	Yes	No
Does the Body have access to ISO/IEC 17020:2012	<input type="checkbox"/>	<input type="checkbox"/>
Does the Body have access to ISO/IEC 17025:2005	<input type="checkbox"/>	<input type="checkbox"/>

3. Knowledge, training and decision making	Yes	No
Does the Body’s staff have knowledge of the basic concepts of independence and impartiality?	<input type="checkbox"/>	<input type="checkbox"/>
Were the training records of the Body’s staff checked?	<input type="checkbox"/>	<input type="checkbox"/>
Does the Body’s selected staff have sufficient knowledge in the principles of independence and impartiality to provide initial training and retraining to other staff?	<input type="checkbox"/>	<input type="checkbox"/>
Names of person(s): _____		
Were examples of training programs of the Body’s staff reviewed and found to be sufficient?	<input type="checkbox"/>	<input type="checkbox"/>
Does the Body’s staff select and make pass/fail decisions taking the principles of independence and impartiality into account?	<input type="checkbox"/>	<input type="checkbox"/>
Are the Body’s decisions based on objective evidence of conformity (or nonconformity) obtained by the Body’s staff?	<input type="checkbox"/>	<input type="checkbox"/>
Are the Body’s decisions influenced by other interests or parties?	<input type="checkbox"/>	<input type="checkbox"/>



4. Documentation and Implementation	Yes	No
Does the Body have documented and implemented (on an on-going basis) sufficient procedures to ensure the independence and impartiality of all staff?	<input type="checkbox"/>	<input type="checkbox"/>
Does the Body have documented and implemented (on an on-going basis) sufficient procedures to ensure that the remuneration of staff is free from pressures and inducements and is not dependent on the number, outcome of the result of their activities? Note: It is recognized that the source of revenue of the Body is its customers paying for its services and that this is a potential threat to independence and impartiality.	<input type="checkbox"/>	<input type="checkbox"/>
Does the Body have documented sufficient procedures for the identification, review, resolution and prevention of conflict of interest (including “commercial consultancy”) where conflicts of interest are suspected or proven (including subcontracted personnel) and does the Body keep records of such reviews and decisions?	<input type="checkbox"/>	<input type="checkbox"/>

5. Marketing and advertising materials	Yes	No	N/A
Do the Body’s marketing materials give the impression that “commercial consultancy” activities are offered?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the Body linked to an organization that provides “commercial” consultancy services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is there a documented policy/procedure to ensure that there is an effective separation between all conformity assessment activities and consultancy services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the Body’s Inspection staff participate in “commercial consultancy”?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

6. Staff declarations	Yes	No
Does the Body require all staff acting on its behalf to declare any potential conflict of interest?	<input type="checkbox"/>	<input type="checkbox"/>

7. Compliance	Yes	No
Does the Body comply with all the above independence and impartiality principles on an ongoing basis? Note: If the answer is NO a Non-Conformity Report must be issued	<input type="checkbox"/>	<input type="checkbox"/>



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Annex E Non-Conformity Reports (NCRs)

General
Copy this template for each non-conformity found.

Non-conformity Report No.
Assign a consecutive number to each NCR issued and include the total number of NCRs issued. Example: 1/5.

Standard Clause / Sub-clause of Non-Conformity and/or IECRE Rule/OD
NCR related to ISO/IEC 17020, IEC CA 01 + IECRE 01-S, IECRE Rules of Procedure, ODs, Clarification Sheets.

Non-conformity Report No	/	Date	YYYY-MM-DD
Standard Clause / Sub-clause of Non-Conformity and/or IECRE Rule/OD.			
Non-conformity description			
Lead Assessor	Inspection Body representative acknowledgement of the issuance of the NCR		
Signature and printed name	Signature, printed name and title		
Root cause of non-conformity			
Proposed Corrective action(s)			



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Implementation date	Inspection Body representative confirms implementation of corrective actions
YYYY-MM-DD	Signature, printed name, title and date
Proposed Corrective Action(s) acceptance by the Lead Assessor	
Acceptance, no further verification required	<input type="checkbox"/>
Acceptance, further verification of implementation is required, <u>without</u> on-site follow-up assessment	<input type="checkbox"/>
Acceptance, further verification of implementation is required, <u>with</u> on-site follow-up assessment	<input type="checkbox"/>
Lead Assessor (Signature, printed name and date)	
Implementation verified and final clearance provided by Lead Assessor (only if further verification of implementation is required)	
Lead Assessor signature, printed name and date	

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