

ISO/IEC 17021-1 IAS 3-Days Training Course

Test Day 3

Name			
Date			
Tutor's mark		Tutor initials	

Please, review carefully the following 4 incidents noted during an audit against ISO 17021-1.
You are required to determine if there is nonconformity or not.

3 OUT OF THE 4 INCIDENTS MUST BE SELECTED

If nonconformity does exist, then you are required to complete the Nonconformity Report detailing your objective evidence and defining the appropriate requirement of ISO 17021-1 against which you are issuing the nonconformity.

If you have not enough objective evidence to issue a nonconformity, you are required to list the questions you would ask the auditee to substantiate your decision with further objective evidence.

Please document your report in the case of nonconformity using the provided N/C forms or in the space below them if you have not enough objective evidence.

Incident Number 1

During the evaluation of a Management System Certification Body that operates according to ISO 17021-1 the accreditation assessor identifies that the organisation in question has used Mr. Shorty, a freelancer, as a technical expert for the assessment of sausage manufacturers ABC Inc. and XYZ Inc. There are no data on Mr. Shorty in the organisation's human resources or partners records. The auditee representative mentions that Mr. Shorty has been used because he is a registered auditor and he is one of the most experienced and renowned national experts in the field of sausage manufacturing.

NON CONFORMITY REPORT	
LABORATORY:	DATE:
DEPARTMENT:	CLAUSE ISO 17021-1:
CATEGORY: <ul style="list-style-type: none">• Non conformity: Major/ Minor	
OBJECTIVE EVIDENCE	
AUDITOR	AUDITEE

Not enough objective evidence has been provided. Please, list the questions you would ask the auditee to substantiate your decision with further objective evidence, with reference to respective ISO 17021-1 clause:

Incident Number 2

During the evaluation of a Management System Certification Body that operates according to ISO 17021-1, the IAS assessor detects 3 audit reports (for certification) of customer management systems that include only the auditees' contact details (address and names of representatives) and a hand-written note by the auditor, stating that the system operates flawlessly against the ISO 9001 requirements. The report is signed at the end. The IAS assessor examines the Organisation's certification records and identifies that those 3 companies have been certified to ISO 9001. When asked whether there is additional audit evidence for those companies, the manager answers that probably some personal notes can be found in auditors' laptops.

NON CONFORMITY REPORT	
LABORATORY:	DATE:
DEPARTMENT:	CLAUSE ISO 17021-1:
CATEGORY: <ul style="list-style-type: none">• Non conformity: Major/ Minor	
OBJECTIVE EVIDENCE	
AUDITOR	AUDITEE

Not enough objective evidence has been provided. Please, list the questions you would ask the auditee to substantiate your decision with further objective evidence, with reference to respective ISO 17021-1 clause:

Incident Number 3

Assessment day, May 15, 2016: In the quality department the assessor is asking for the management review procedure. The management review procedure states that they are performed twice per year. The assessor asks to see the minutes of meeting of the last 2 management reviews. He observed that the last one was performed 6 months ago (December 2015), and the previous one 24 months ago (May 2014).

NON CONFORMITY REPORT	
LABORATORY:	DATE:
DEPARTMENT:	CLAUSE ISO 17021-1:
CATEGORY: <ul style="list-style-type: none">Non conformity: Major/ Minor	
OBJECTIVE EVIDENCE	
AUDITOR	AUDITEE

Not enough objective evidence has been provided. Please, list the questions you would ask the auditee to substantiate your decision with further objective evidence, with reference to respective ISO 17021-1 clause:

Incident Number 4

The Certification Manager of the XYZ Certification Body informs the accreditation assessor that there have been improvements and simplifications to the Body's Management System documentation. Many of the documented operational procedures have been withdrawn as superfluous, since an extensive human resources training process is applied.

Training manuals are indeed informative and comprehensive, but they bear no indication as controlled documents of the management system or to the person responsible for them and the date of their approval. The training manager mentions that any amendments that may be required are discussed during the meetings of trainers. Each trainer is responsible for bringing about all the necessary amendments to the training material of their field. The organisation's manual mentions that *"any changes to system documents shall be reviewed and approved by the same organisational structures as those who originally reviewed and approved them"*.

NON CONFORMITY REPORT	
LABORATORY:	DATE:
DEPARTMENT:	CLAUSE ISO 17021-1:
CATEGORY: <ul style="list-style-type: none">• Non conformity: Major/ Minor	
OBJECTIVE EVIDENCE	
AUDITOR	AUDITEE

Not enough objective evidence has been provided. Please, list the questions you would ask the auditee to substantiate your decision with further objective evidence, with reference to respective ISO 17021-1 clause:
