



**REPUBLICAN UNITARY ENTERPRISE
«BELARUSIAN STATE CENTRE FOR ACCREDITATION»**

DP SM 7.7-01-2017

**PREPARATION OF MATERIALS FOR CONSIDERATION AT
TECHNICAL COMMISSION FOR ACCREDITATION**

Developed by	Department of accreditation activity management
Responsible for review	Department of accreditation activity management
Approved	Order of 24.10.2017 № 108
Entered into force	from 01.11.2017
Issue	04
Amendment	1 c 10.04.2018, order of 02.04.2018 № 29 2 c 26.08.2019, order of 15.07.2019 № 50
Type of copy	REFERENCE
Substitutes	

Minsk, 2017

TABLE OF CONTENTS

1 SCOPE.....	4
2 REFERENCES	4
3 TERMS AND DEFINITIONS	4
4 ABBREVIATIONS AND DENOTATIONS	5
5 RESPONSIBILITY	5
6 PREPARATION OF MATERIALS FOR CONSIDERATION AT TECHNICAL COMMISSION FOR ACCREDITATION	5
7 MANAGEMENT OF RECORDS.....	7
Annex 1 Matrix of distribution of responsibility and authority	8
Annex 2 Form of final report.....	9
Amendments registration sheet	17

1 SCOPE

1.1 This documented procedure (hereinafter, "the procedure") is a management system document of Republican Unitary Enterprise "Belarusian State Centre for Accreditation" (hereinafter – BSCA) developed to further clause 7.7 of BSCA Quality Manual with account of clause 7.7 of GOST ISO/IEC 17011.7 and lays down rules of procedure for preparation materials on assessment of conformity assessment bodies (CABs) to be considered at Technical commission for accreditation (TKA).

1.2 The requirements of this procedure are mandatory for BSCA personnel involved in preparation materials on assessment of CABs to be considered at TKA.

2 REFERENCES

This document references the following documents:

Resolution of the State Committee on Standardization of May 31, 2011 No. 27 “On Approval of Accreditation Rules” (as amended by the Resolution of State Standard of June 19, 2017 No. 49) (hereinafter referred to as the Accreditation Rules);

GOST ISO/IEC 17000 (ISO/IEC 17000, IDT) Conformity assessment. Vocabulary and general principles;

GOST ISO/IEC 17011 (ISO/IEC 17011, IDT) Conformity assessment. Requirements for accreditation bodies accrediting conformity assessment bodies;

RK SM BSCA Quality Manual;

DP SM 6-01 Management of personnel who participate in the accreditation process. Criteria of competence;

DP SM 6-02 Monitoring of activity and competence of personnel participating in the accreditation process;

DP SM 7 Accreditation process;

DP SM 7-06 Rules of procedure for accreditation for the purposes of implementation technical regulations of the Customs Union;

DP SM 7.4-01 Sampling for laboratories, inspections, proficiency testing providers

DP SM 7.4-02 Sampling for assessment of certification bodies;

DP SM 7.6 Assessment;

DP SM 7.14 Retention of records on conformity assessment bodies;

DP SM 9.5 Management of nonconformities and corrective actions;

RI CM 7-01 Rules of application of Rules of procedure for inclusion of accredited conformity assessment bodies into the Unified Register of the Eurasian Union;

RI SM 7.8-01 Accreditation certificate. Requirements to contents and design. Introduction of changes to the accreditation certificate;

RI SM 7.8-02 Scope of accreditation. Requirements to design. Introduction of changes to the scope of accreditation;

P SM 7.7 Provision on Technical commission for accreditation

Note: When using this procedure the current versions of the referenced documents shall be used. If the reference documents are replaced (modified), then the modified documents should be used. If reference documents are cancelled without replacement, the provisions of the procedure in which references are given to them are applied in the part that does not affect these references.

3 TERMS AND DEFINITIONS

Terms and definitions used in this procedure are those of GOST ISO/IEC 17000, GOST ISO/IEC 17011, DP SM 6-01, RK SM.

technical guarantor: A person appointed by the accreditation body to control specific assessment materials submitted to the Technical commission for accreditation.

case officer: an employee of the accreditation body whose responsibilities include coordinating and monitoring of the implementation of all the stages of accreditation.

4 ABBREVIATIONS AND DENOTATIONS

The following denotations and abbreviations are used in this procedure:

BSCA, accreditation body	– Republican Unitary Enterprise “Belarusian State Centre for Accreditation”;
IS «Accreditation»	– unified information system in the field of conformity assessment;
OA 1, OA 2	– accreditation department №1, №2;
OAOS	– department for accreditation of certification bodies;
OIT	– IT Department
OORA	– Department of accreditation activities management;
SMBusiness	– system of electronic document flow «SMBusiness»;
IDT	– Department of accreditation activities management

5 RESPONSIBILITY

Responsibility and authority to prepare materials for consideration at TKA meeting are established in the matrix of distribution of responsibility and authority (Annex 1).

6 PREPARATION OF MATERIALS FOR CONSIDERATION AT TECHNICAL COMMISSION FOR ACCREDITATION

6.1 Preparation of materials for consideration at the TKA meeting is carried out by a lead assessor. Materials submitted to the TKA meeting (Annex 3) include the following information;

- 1) unambiguous identification of the CAB;
- 2) date(s) and types of assessment (for example, initial, reaccreditation);
- 3) the name(s) of the team leader, technical expert(s)/expert (s) involved in the assessment;
- 4) unambiguous identification of all locations where the assessment took place;
- 5) scope of accreditation assessed;
- 6) assessment report(s);
- 7) a report on compliance of organizational structure and procedures adopted by the CAB in order to ensure its competence, as far as is determined in the course of the assessment of compliance with accreditation requirements;
- 8) sufficient information to demonstrate a satisfactory response to all nonconformities;
- 9) if necessary, any additional information that may contribute to the determination of the competence of the CAB, in accordance with established requirements;
- 10) where appropriate, a recommendation regarding accreditation decisions for the proposed scope of accreditation.

Additionally, if the CAB is included in the national part of the Unified Register of EAEU or if the information about the CAB is to be updated, the lead assessor submits materials according to DP SM 7-06, RI SM 7-01.

Materials including the final report prepared by the lead assessor (Annex 2, Part 1) are submitted to the technical guarantor for further review.

6.2 Technical guarantor reviews the materials to determine the sufficiency of the information to make a decision on fulfillment of accreditation requirements.

The technical guarantor is appointed by the head of OA 1, OA 2, OAOS from among the BSCA specialists included in the List of technical guarantors (hereinafter – the List). The list is compiled taking into account the confirmed scope of competence and the results of monitoring. The List is approved by order of BSCA director, is reviewed and updated annually. The inclusion of new applicants in the List is carried out in accordance with the requirements of DP SM 6-01. Monitoring of technical guarantors is carried out according to DP SM 6-02.

When appointing a technical guarantor, the head of OA 1, OA 2, OAOS shall take account of the following:

- the appointed specialist shall neither take part in assessment of the CAB under consideration, nor have links with the CAB (at present and during the previous 2 years);
- the appointed specialist shall have experience in conducting assessments in the status of a lead assessor in the relevant field of competence (codes shall cover at least 50% of the scope of accreditation to be assessed).

The results of the review are reflected by the technical guarantor in the final report (Annex 2 part 2).

Note: If there's a need to receive recommendations on technical issues related to conformity assessment activities, the technical guarantor may contact a technical expert who has the relevant field of competence and is included in the Register of Technical Experts.

In case of comments to the assessment materials – these are returned to lead assessor responsible for this assessment for revision.

In the absence of comments and if technical guarantor concludes positively on sufficiency of information to make TKA decision, lead assessor includes a proposal to TKA agenda on this CAB at least 3 working days prior to TKA meeting. The draft TKA agenda (F 7.7-05 P SM 7.7) is posted on BSCA server posted on the BSCA server \\srvbscaNAS\bsca\TKA20 __ / TKA No. __ dated_____.

To consider materials on cases where planned accreditation works have already been started (provision of technical passport is considered a commencement of periodic assessment of competence, for all other types of works registered application is required to commence accreditation works), a lead assessor shall use a template of a memo (in the IS “Accreditation”) and load it to SMBusiness to get the agreeing resolution of the head of OA 1, OA 2, OAOS.

Lead assessor presents all CAB’s materials which are to be considered at TKA meeting to the case officer in paper; documents and records of the work done are posted in electronic form in the IS Accreditation and on the BSCA server \\srvbscaNAS\bsca\ASSESSMENT MATERIALS.

Note: To ensure the safety of documents in electronic form, delete function is available only to the head of the OIT, head of OORA and his/her deputy.

After review, the materials are transferred by the technical guarantor to case officer.

6.3 Case officer checks if the assessment materials are complete and comply with 1) forms set in DP SM 7, DP SM 7.6, 2) deadlines established in the Accreditation Rules, DP SM 7, organizational and administrative documents, 3) correctness of design of the draft accreditation certificate and scope of accreditation according to the requirements of RI SM 7.8-01, RI SM 7.8-02.

In the absence of any documents in the materials, the case officer requests the missing documents from the lead assessor, and if they are not submitted on time, the issue is excluded from the agenda of the TKA meeting.

If there are nonconformities in the forms or the deadlines, the accreditation organizer sends a copy of the final report with his/her comments to the head of OA 1, OA 2, OORA for analysis and development of corrective actions in accordance with DP SM 9.5 (if appropriate).

If the lead assessor fails to submit materials for consideration at the TKA meeting, the case officer informs the TKA secretary about the exclusion of this issue from the agenda of the TKA meeting.

If there are no comments in the materials, the case officers completes the CAB’s file in accordance with the procedure established by DP SM 7.14, fills in the final report (Annex 2, Part 3) on the readiness of the materials for consideration at the TKA meeting.

To consider materials on cases for which no planned work has been started (a passport of technical competence has not been submitted for a periodic assessment of competency or there is no application for reaccreditation), case officer makes a proposal on inclusion of this case to TKA agenda. In order to do this a case officer shall use a template of a memo generated by IS “Accreditation”. The memo shall include details of communication with the CAB. The memo shall be downloaded to SMBusiness to obtain resolution of the head OORA or its deputy, resolution of an economist of OORA (on absence of a contract with the CAB), a leading expert on accreditation (if appropriate) and visas of responsible persons on confirmation of the information contained in the memo (front office confirms absence of an application). Proposal for consideration materials at a TKA meeting shall comply with the form F 7.7-05 P SM 7.7 hosted on the server \\srvbscaNAS\bsca\TKA20 __ / TKA No. ____ dated _____. The case officer informs lead assessor on the decision made by TKA in any way (through IS Accreditation, SMBusiness, e-mail).

7 MANAGEMENT OF RECORDS

Information on management of records set by this procedure is provided in Table 1.

Table 1 Management of records

Title, type* or records	Place for records retain	Responsibility for update of records form/keeping records	Place for records form retain	Term for records retain
Final report	OORA/CAB’s file	OORA/lead assessor, technical guarantor, case officer	IPS STANDART/ Our documents/ DP SM 7.7-01/ annex 2	2 accreditation cycles
*EM – electronic means is used to retain records; PM – paper means is used to retain records .				

Annex 1

Matrix of distribution of responsibility and authority
Note:

O – responsible for the implementation of the function;

Y – participates in the implementation of the function;

И – notified of function implementation.

№ п/п	Stages	Responsible				
		Head of OA 1, OA 2, OAOS	Head of OORA	lead assessor	technical guarantor	case officer
1	Preparation of materials for consideration at TCA by a lead assessor, preparation of the final report	Y		O		
2	Appointment of a technical guarantor responsible for material review	O	И	И	И	И
3	Review of materials by technical guarantor, preparation of the final report	Y		И	O	
4	Inclusion of proposals for consideration of materials at a TKA meeting, timely submission of materials to TKA	И		O		И
5	Case officer checks the readiness of materials for submission to TKA		И	И		O

Form of final report

	FINAL REPORT for consideration of materials on competence assessment at TKA meeting	Accreditation certificate No. (if any) BY/112
---	--	---

PART 1*(filled in by a lead assessor)*

Full name of a legal entity	
Full name of a division, certification body of the applicant/ accredited CAB (including full name of the branch of the legal entity (if any))	
Registration N of the application, date of registration:	
Validity of the accreditation certificate:	from..... till ...:

TYPES OF ACCREDITATION WORKS:**INFORMATION ON NONCONFORMITIES:**

total number of nonconformities / number of sheets of nonconformities	
Closed	
Not closed	

Information on the reasons for nonconformities (if any):**Proposals to TKA:**

Lead assessor

_____ signature

_____ initials, surname

_____ date

Appointment of a technical guarantor responsible for the review of materials on assessment of CAB's competence

Technical guarantor responsible for the review of materials on assessment of CAB's competence if appointed:

_____ position

_____ initials, surname

The appointed person is to review the materials on assessment of CAB's competence within 5 working days from the date of receipt of the assessment materials.

Head of department

_____ signature

_____ initials, surname

_____ date

Assessment materials are receipt by technical guarantor:

_____ Full name

_____ signature

_____ date

Technical guarantor:

I got informed on this, I have had no ties with the CAB at present and since last 2 years:

_____ position

_____ signature


_____ initials, surname

_____ date

Note:

1. Information obtained during accreditation decision-making, identified nonconformities and comments are confidential and shall not be disclosed.

2 The personnel involved in accreditation decision-making shall inform TKA Chairperson in advance of past, existing or expected links with the assessed CAB.

	FINAL REPORT for consideration of materials on competence assessment at TKA meeting	Accreditation certificate No. (if any) BY/112
---	--	---

PART 2

Review of materials package on assessment of CAB's competence

(filled in by technical guarantor)

Full name of a legal entity	
Full name of a division, certification body of the applicant/ accredited CAB (including full name of the branch of the legal entity (if any))	
Registration N of the application, date of registration:	
Validity of the accreditation certificate:	from..... till ...:

TYPES OF ACCREDITATION WORKS:

№	Stages of accreditation (correct execution, completeness, reliability)	Mark on compliance		Nonconformities raise in the course of review (brief)
		yes	no	
1	Application review			
1.1	Application review: verification of completeness, sufficiency and compliance with the established requirements of the information submitted by the applicant for accreditation (reaccreditation) ¹	<input type="checkbox"/>	<input type="checkbox"/>	
2	Recourse review			
2.1	Recourse review: analysis of the possibilities to timely assess the applicant taking into account the existing competence and accessibility of relevant assessors and technical experts ¹	<input type="checkbox"/>	<input type="checkbox"/>	
3	Preparation to assessment			
3.1	Appointment of assessment team (selection of technical experts) with account of the scope applied for accreditation (initial accreditation, reaccreditation, extending accreditation) or with account of programme of periodic assessment of competence and reaccreditation for the accreditation cycle and with account of review of changes (for periodic assessment of competence), drafting invitation on inclusion to the assessment team, agreeing the invitation on inclusion to the assessment team	<input type="checkbox"/>	<input type="checkbox"/>	
3.2	Preparation of the draft composition of the assessment team and its approval	<input type="checkbox"/>	<input type="checkbox"/>	
3.3	Conclusion of a contract for the work	<input type="checkbox"/>	<input type="checkbox"/>	
3.4	Development of an assessment plan and its coordination with the CAB	<input type="checkbox"/>	<input type="checkbox"/>	
3.5	Development and approval of technical assignment for technical experts	<input type="checkbox"/>	<input type="checkbox"/>	
4	Document review (Documents and records submitted together with the application)			
4.1	Analysis of management system documents and related records to assess the applicant's management system's compliance with fundamental standards or changes	<input type="checkbox"/>	<input type="checkbox"/>	
4.2	Review of passport of technical competence containing information on the applicant's	<input type="checkbox"/>	<input type="checkbox"/>	

	technical capabilities to perform work in accordance with the declared scope of accreditation			
4.3	Formation of the report on review of the set of documents submitted with the application (documents and records review) (formulation of nonconformities, preparation of a report on documents and records review, completeness and objectivity of information in the report)	<input type="checkbox"/>	<input type="checkbox"/>	
5	Assessment			
5.1	Opening meeting	<input type="checkbox"/>	<input type="checkbox"/>	
5.2	Assessment of compliance with the requirements of fundamental standards (accreditation schemes) by a lead assessor according to the assessment plan	<input type="checkbox"/>	<input type="checkbox"/>	
5.3	Assessment of technical competence, taking into account the declared scope of accreditation, by a technical expert/expert according to the assessment plan	<input type="checkbox"/>	<input type="checkbox"/>	
5.4	Analysis of all information and objective evidence collected based on the results of the review of documented information and assessment, registration of the results of the assessment, the formulation and classification of detected findings	<input type="checkbox"/>	<input type="checkbox"/>	
5.5	Closing meeting	<input type="checkbox"/>	<input type="checkbox"/>	
5.6	Preparation of a final assessment report, information and objective evidence obtained during the assessment, conclusions regarding competence with justification	<input type="checkbox"/>	<input type="checkbox"/>	
5.7	Analysis of implementation of corrective actions/corrections, assessment of the adequacy and effectiveness of the corrective actions/corrections taken by the CAB	<input type="checkbox"/>	<input type="checkbox"/>	
5.8	Analysis of the program of periodic assessment of competence and reaccreditation for the accreditation cycle	<input type="checkbox"/>	<input type="checkbox"/>	
6	Decision-making			
6.1	Preparation by the lead assessor of documents for TKA review, preparation of the final report	<input type="checkbox"/>	<input type="checkbox"/>	
6.2	Objectivity of the proposal submitted to TKA	<input type="checkbox"/>	<input type="checkbox"/>	

Note 1: the assessment of this item is carried out during accreditation, extending accreditation.

The conclusion of the technical guarantor:

Information provided in the materials on assessment of competence is sufficient to decide on fulfillment of accreditation requirements	<input type="checkbox"/>
Information provided in the materials on assessment of competence is not sufficient to decide on fulfillment of accreditation requirements, materials are sent to additional preparation	<input type="checkbox"/>
Comments:	




Technical guarantor _____ _____ _____
signature initials, surname date

Comments of the Head of the department:

Head of department _____ _____ _____
signature initials, surname date

Materials are sent to additional preparation to:

Lead assessor _____ _____ _____
signature initials, surname date

	FINAL REPORT for consideration of materials on competence assessment at TKA meeting	Accreditation certificate No. (if any) BY/112
---	--	---

PART 3

Verification of readiness of materials on assessment of CAB's competence

(filled in by case officer)

Full name of a legal entity	
Full name of a division, certification body of the applicant/ accredited CAB (including full name of the branch of the legal entity (if any))	
Registration N of the application, date of registration:	
Validity of the accreditation certificate:	from..... till ...:

TYPES OF ACCREDITATION WORKS:

№	Element to be checked	Mark on compliance		Nonconformities raise in the course of review (brief)
		yes	no	
1	Completeness of assessment materials <i>(in accordance with Annex 3)</i>	<input type="checkbox"/>	<input type="checkbox"/>	
2	Compliance of forms with the requirements	<input type="checkbox"/>	<input type="checkbox"/>	
3	Compliance with the established deadlines	<input type="checkbox"/>	<input type="checkbox"/>	

Stages of work	Date	Stage
date and registration N of the application		<input type="checkbox"/>
planned date of assessment (according to the plan of periodic assessment of competence for the accreditation cycle)		<input type="checkbox"/>
date and contract number, date and payment order number		<input type="checkbox"/>
0.0 Provision of passport of technical competence before periodic assessment of competence		<input type="checkbox"/>
1.1 Application review, decision making		<input type="checkbox"/>
1.2 Suspension of works		<input type="checkbox"/>
1.3 Resource review, decision making		<input type="checkbox"/>
1.4 Elimination of nonconformities raised at application review stage		<input type="checkbox"/>
2.0 Appointment and agreeing the composition of the assessment team		<input type="checkbox"/>
5.1 Document and records review		<input type="checkbox"/>
5.2 Elimination of nonconformities raised at document review stage		<input type="checkbox"/>
5.3 Additional document and records review		<input type="checkbox"/>
5.4 Elimination of nonconformities raised at additional document review stage		<input type="checkbox"/>
6.1 Preparation and agreeing assessment plan		<input type="checkbox"/>
6.2 Assessment		<input type="checkbox"/>
6.3 Appointment and agreeing the composition of the assessment team (follow-up assessment)		<input type="checkbox"/>
6.4 Preparation and agreeing assessment plan (follow-up assessment)		<input type="checkbox"/>
6.5 Assessment (follow-up assessment)		<input type="checkbox"/>
6.6 Preparation of final report on the results of the assessment (follow-up assessment)		<input type="checkbox"/>
7.1 Preparation of final report on the results of the assessment		<input type="checkbox"/>

Conclusion of case officer on possibility to present assessment materials to TKA consideration:

Materials on assessment of CAB's competence	Ready for consideration at TKA meeting	<input type="checkbox"/>
	Not ready for consideration at TKA meeting	<input type="checkbox"/>
	Corrective actions are required	<input type="checkbox"/>
Comments:		

Entered in the agenda of TKA meeting № _____ dated __.__.____.

Case officer

_____ signature

_____ initials, surname

_____ date

List of materials for consideration at TKA meeting

№	Title of the document	Identification of the form	Initial accreditation	Extending accreditation	Reaccreditation	Actualization of scope of accreditation	Periodic assessment of competence
1	2	3	4	5	6	7	8
1	application for accreditation (with a set of documents)	Annex 2 DP SM 7	+	+	+	+	-
2	scope applied for accreditation	Annex 2 DP SM 7	+	+	+	+	-
3	review of the application in order to verify the correctness of its design and completeness of documents attached to the application	Annex 3 DP SM 7	+	+	+	+	-
4	resource review, decision on application	Annex 4 DP SM 7	+	+	-	-	-
5	application for preliminary visit (if any)	free form	+	-	-	-	-
6	composition of the assessment team (preliminary visit), assessment plan (preliminary visit)	Annex 8 DP SM 7 Annex 10 DP SM 7	+	-	-	-	-
7	report on preliminary visit (if any)	Annex 5 DP SM 7	+	-	-	-	-
8	request on inclusion to the assessment team	Annex 7 DP SM 7	+	+	+	-	+
9	composition of the assessment team	Annex 8 DP SM 7	+	+	+	-	+
10	technical assignments (including those for document review)	Annex 9 DP SM 7	+	+	+	+	+
11	report on document review/ assessment check-list	Annex 11 DP SM 7	+	+	+	-	-
12	comparative analysis for the purpose of actualization of the scope of accreditation report on actualization	Annex 3 RI SM 7.8-02 Annex 6 of Accreditation Rules	-	-	-	+	-
13	assessment plan, follow-up assessment plan (if any)	Annex 10 DP SM 7	+	+	+	-	+
14	sheets of nonconformities	Annex 5 DP SM 7.6	+	+	+	-	+
15	Minutes of opening meeting	Annex 1 DP SM 7.6	+	+	+	-	+
16	Minutes of closing meeting	Annex 7 DP SM 7.6	+	+	+	-	+

17	Confidentiality statement	Annex 8 DP SM 7.6	+	+	+	-	+
18	Record sheet for the assessment	Annex 6 DP SM 7.6	+	+	+	-	+
19	Report of technical expert	Annex 9 DP SM 7.6	+	+	+	-	+
20	Witnessing card(s)	Annex 2, 3, 12 DP SM 7.6	+	+	+	-	+
21	Control test/calibration protocols (for laboratories)	according to form set by CAB management system	+	+	+	-	+
22	Cards of case review	Annex 4, 11 DP SM 7.6	+	-	+	-	+
23	Final assessment report, including follow-up assessment	Annex 10 DP SM 7.6	+	+	+	-	+
24	Report on implementation of corrections/corrective actions	Annex 13 DP SM 7.6	+	+	+	-	+
25	Any information, confirming CAB's observance of the accreditation requirements and its competence	free form	+	+	+	-	+
26	Final report for TKA consideration	Annex 2 DP SM 7.7-01	+	+	+	+	+
27	Programme of periodic assessment of competence and reaccreditation for accreditation cycle	Annex 6 DP SM 7	+	+	+	-	+
28	Draft of the accreditation certificate	Annex 1 RI SM 7.8-01	+	-	+	-	-
29	Draft of the accreditation scope	Annex 4 of the Accreditation Rules	+	+	+	+	-
30	Other documents as seen necessary by lead assessor	free form	+	+	+	+	+

Note: * Programme of periodic assessment of competence and reaccreditation for accreditation cycle can be corrected with account of extensions and suspensions of accreditation and as a result of periodic assessment of competence.



**REPUBLICAN UNITARY ENTERPRISE
«BELARUSIAN STATE CENTRE FOR ACCREDITATION»**

Amendments registration sheet

N	Date of introduction of the amendment	N of notification of change, date of approval	Paragraph changed	Signature of the person who introduced the change	Full name of the person who introduced the change
1	2	3	4	5	6