**AUDITOR CHECK-LIST  *Version 3 July 2022***

**FOR VERIFICATION OF COMPLIANCE WITH TIC COUNCIL CODE OF PRACTICE FOR CONSIGNMENT BASED CONFORMITY ASSESSMENT (CBCA) SERVICES**

**Explanatory Notes:**

This Check List is to be used by quality management system auditors, acceptable to TIC Council when conducting an audit to verify a TIC Council Member’s compliance with the above Code of Practice. The audit may be undertaken either: (a) simultaneously with certification / accreditation or surveillance audit(s) of the Member’s quality management system(s) to ISO 9001 / ISO 17020 Standards and/or (b) on a separate stand-alone basis. In either case, the audits shall be conducted according to a Multisite Sampling Plan based on the Member’s global network of own offices (excluding long term agents or associates) as per the International Accreditation Forum Guidance on Multisite Organisations.

This Check-list is in 2 parts:-

Part 1: To be completed for the TIC Council Member’s global network of own offices, at least once a year, to coincide with the completion of each batch of audits.

Part 2: To be completed for every site audited to verify compliance with the TIC Council CBCA Code of Practice.

It consists of:-

1. General Requirements Check-List
2. File Audit Check-List

To complete Part 2 B, the auditor shall randomly select 10% of all files (with a maximum of 20 files) for a documentary audit, with consideration to the following requirements:

* Files selected shall concern different mandates operated by the TIC Council member. A minimum of 3 different mandates is required if the TIC Council member operates 3 or more mandates.
* Files selected shall cover the following situations on a prorate basis:
  + 50% of files selected: Consignment certificates without Registration or Licensing regime
  + 25% of files selected: Registration or Licensing certificates
  + 25% of files selected: Consignment Certificates under Registration or Licensing regime

*Note: To facilitate the selection process, the TIC Council member will first submit to the auditor a report covering a representative period of time and listing the references of all certificates issued, with identification of name of mandate and certification type.*

At least 80% of the files audited should comply for a satisfactory (Y) mark in the check-list. Corrective actions for non-compliant files should be submitted within 30 days to the manager who has overall responsibility for the TIC Council member’s compliance with the CBCA CoP and will be checked by the Auditor during the Head Office audit.

As per TIC Council CBCA CoP Articles B.6.1, C.4.2 and C.5.3, the provisions of the TIC Council CBCA CoP may be overruled by specific Governments’ requirements. The auditor shall only take into account adequately documented Governments’ requirements and shall make a note to any such applicable situation.

The auditor shall send an Annual Statement on Conformity to TIC Council in the below format letter, including a completed Auditor Check-list for the TIC Council Member’s global network and head office.

<Certification Body Letterhead>

Attn. The TIC Council Director General

TIC Council

Rue du Commerce 20-22,

1000 Brussels,

Belgium

E-mail: [secretariat@tic-council.org](mailto:secretariat@tic-council.org)

<Date>

Our certificate/file reference: <Member’s certificate number or job reference>

Dear Sir,

**Re: Annual Statement on Conformity of <Member Name> with the TIC Council CBCA Code of Practice for <Year>**

We hereby confirm we have been actively assessing the above member’s compliance with the TIC Council CBCA Code of Practice between 1st January and 31st December <Year> by use of the TIC Council Auditor’s Checklists and have found this to be <satisfactory/unsatisfactory>.

(A) Our basis for sampling sites within the above global network is as follows:

<Explanation of sampling plan e.g. the time period between assessment rounds; number of offices assessed during each round; time period over which 100% of offices are assessed; or if 100% of offices are not physically assessed the basis for the sample selection. >

(B) The sites assessed for compliance during <Year> were as follows:

<List the site addresses and countries that were physically assessed during the year in question as a result of the sampling plan>

(C) We attach for your reference the completed Auditor Check-list covering the member’s global network (Part 1) and the member’s head office (Part 2).

For clarifications on any of the above information, the TIC Council Director General may contact the undersigned.

Yours faithfully,

<Name>

<Title>

**PART 1: Yearly Status Report (TIC Council member’s global network)**

NAME OF COMPANY AUDITED:

1. Accreditation/Certification to Quality Management System (QMS) standard covering the company’s global network of own offices (*please tick / complete all applicable)*:

* ISO 9001
* ISO 17020
* ISO 17065
* Other standard(s) specified below:

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1. Copies of Certificates of Conformity / Accreditation including scope and list of sites covered are attached.
2. The audit recently completed was covering (*please tick / complete all applicable)*:

* CBCA-CoP audit
* QMS Certification/Accreditation audit to *(specify standard) \_*\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
* QMS Surveillance audit to *(specify standard)* \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Date of conclusion of the audit:

**PART 2: TIC Council CBCA CoP Audit Check List**

NAME OF COMPANY AUDITED:

LOCATION OF OFFICE AUDITED:

NAME OF AUDITING BODY:

NAME OF AUDITOR(S):

HO = Head Office of TIC Council Member

IC = Inspection Centre, performing physical inspection activities

CC = Certification Centre, performing conformity evaluation activities

1. **GENERAL REQUIREMENTS CHECK-LIST**

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| # | 1. GENERAL REQUIREMENTS CHECK LIST | Ref CoP | Y | N | N/A | Office Type |
| 1 | Have the following been implemented:   1. Publication of an appropriate policy statement at the highest level in the organization, setting out the relevant corporate values? 2. Procedures to ensure that all employees are aware of corporate values and apply them in their activities? 3. Mechanisms for reporting cases of non-observance of these values including the protection of those initiating the reports? 4. Recording systems adequate to permit the audit of incidents of non-compliance with relevant corporate rules and procedures? | B.1.2i.  B.1.2ii.  B.1.2iii.  B.1.2iv. |  |  |  | ALL |
| 2 | Have internal procedures been implemented which ensure the protection of confidential business information and are staff required to sign a non-disclosure agreement? | B.2.1 |  |  |  | ALL |
| 3 | Do adequate security measures exist which ensure that:   1. access is restricted to authorised personnel only 2. Documents/data are stored in designated secure areas 3. All sensitive material is disposed of by shredding, disintegration or incineration under supervision of authorised personnel | B.2.2i.  B.2.2ii.  B2.2iii. |  |  |  | ALL |
| 4 | Have internal procedures been implemented to ensure avoidance of conflicts of interest by the auditee as per Art. B.3.1 of the TIC Council CBCA CoP. | B.3.1 |  |  |  | ALL |
| 5 | Have internal procedures and management controls been implemented to ensure impartiality and independence as per Art. B.3.2-B.3.5 of the TIC Council CBCA CoP. | B.3.2  B.3.3  B.3.4  B.3.5 |  |  |  | ALL |
| 6 | Is the site audited / accredited under ISO 17065, ISO 17020 or similar? Alternatively, is the site audited operating under a system subject to accreditation and under the control of personnel competent under the terms of such accreditation? | B.4.2 |  |  |  | ALL |
| 7 | Can the auditee – in his domain of CA activities - demonstrate (e.g. through available documented internal instructions/guidelines, standards, etc.) an appropriate knowledge of international standards and technical regulations, including a full comprehension of conformity assessment activities? | B.4.3 |  |  |  | ALL |

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| # | 1. GENERAL REQUIREMENTS CHECK LIST | Ref CoP | Y | N | N/A | Office Type |
| 8 | Does the auditee employ qualified, experienced and trained permanent personnel covering evaluation of conformity and also the key product sectors commonly subject to CBCA? | B.4.4 |  |  |  | CC |
| 9 | Have inspectors conducting visual inspection undergone appropriate training and are they qualified by the TIC Council member? | B.4.5/ B4.6 |  |  |  | IC |
| 10 | Are inspectors and Conformity analysts monitored and evaluated annually? | B.4.7 |  |  |  | CC/IC |
| 11 | Does the auditee have procedure for tracking and disseminating information about regulatory changes affecting execution of CBCA programmes? | B.4.8 |  |  |  | ALL |
| 12 | Has a qualified/experienced manager been appointed with overall responsibility for the Company’s compliance with the TIC Council CBCA CoP? | B.4.10 |  |  |  | HO |
| 13 | Does the manager having overall responsibility for the Company’s compliance with the TIC Council CBCA CoP check the corrective actions submitted during CBCA CoP audits of the Company’s offices and their satisfactory closing?  *Auditor to verify corresponding corrective action records* 🞏 *tick box* | B.4.9 |  |  |  | HO |
| 14 | Does the auditee have its own global network of offices for performing inspections under CBCA programmes?  *Auditor to attach listing of the auditee’s network of offices indicating those over which it has management control* 🞏 *tick box* | B.5.1 |  |  |  | HO |
| 15 | Does the auditee have suitable electronic communication facilities and computerised database for recording/retrieving details of goods inspected, test reports and results of conformity assessment? | B.5.2 |  |  |  | ALL |
| 16 | Does the auditee have or have access to a sufficient network of laboratories (ISO 17025 accredited) to provide testing services for goods subject to CBCA?  *Auditor to attach listing of the auditee’s network of laboratories indicating those over which it has management control* 🞏 *tick box* | B.5.3 |  |  |  | HO/IC |
| 17 | When the auditee uses subcontractors for inspection or testing does it periodically verify and ensure that:   1. the subcontractor has the necessary competence, infrastructure and accreditation? 2. the subcontractor complies with the TIC Council CBCA CoP? | B.5.4 |  |  |  | IC |
| 18 | Are copies of the applicable laws, regulations and requirements of Governments for CBCA programmes available for reference? | B.6.1 |  |  |  | ALL |
| 19 | Does the auditee restrict procedural and information requirements to what is necessary to assess conformity (within scope required by Governments)?  *Auditor to verify published “Guidelines and Country Datasheets” (see 21 below)* 🞏 *tick box* | B.6.2 |  |  |  | ALL |

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| # | 1. GENERAL REQUIREMENTS CHECK LIST | Ref CoP | Y | N | N/A | Office Type |
| 20 | Does the auditee consistently comply with the Performance Standards set by the Governments (where applicable)?  *Auditor to verify the records maintained* 🞏 *tick box* | B.7 |  |  |  | ALL |
| 21 | Have appropriate measures been taken (e.g. distribution of common guidelines/instructions to all offices, verification during internal audits, monitoring of complaints) to ensure that CBCA is carried out in a non-discriminatory manner? | B.8.1 |  |  |  | HO |
| 22 | Are “Guidelines” and “Country Data-sheets” or similar published on internet or made available to exporters in printed version and outlining CBCA procedures, having regard to applicable legislation, standards, criteria, best practice and other relevant aspect of the CBCA programme?  *If yes, the auditor to verify that it covers all current mandates of the auditee* 🞏 *tick box* | B.9 |  |  |  | ALL |
| 23 | Have internal procedures been implemented to ensure compliance with the complaints and appeals procedures of Art B.10 of the TIC Council CBCA CoP?  *If yes, the auditor to verify statistical records, for the previous month, of the number of complaints and appeals, their dates of receipt and their date of response / result.* 🞏 *tick box* | B.10 |  |  |  | ALL |

1. **FILE AUDIT CHECK LIST**

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| # | 1. FILE AUDIT CHECK LIST | Ref CoP | Y | N | N/A | Office Type |
| To be audited on consignment certificates without Registration or Licensing regime | | | | | | |
| 1 | Are the details and results of the evaluation documented through a specific report or check-list which is retrievable from the TIC Council Member’s filing system? | C.1.3 |  |  |  | CC |
| 2 | Does the evaluation report or check-list document all the following aspects?   1. Review of conformity supporting documents 2. Visual inspection that products intended to be shipped are those for which conformity documents have been reviewed 3. Assessment of conformance risks 4. Comparison of the products evaluated with the shipping and/or transaction documents. | C.1.2 |  |  |  | CC |
| 3 | Are conformity supporting documents (see TIC Council CBCA CoP Article A.3.6) retrievable from the TIC Council Member’s filing system? | C.2.4 |  |  |  | CC |
| 4 | Are conformity supporting documents issued by a Recognized body in accordance to TIC Council CBCA CoP Article A.3.7?  *Note: Auditor to check both that i) the certifying office holds suitable accreditation and that ii) test reports are issued by a recognized body as per TIC Council CBCA CoP Article A.3.7.* | C.2.1 |  |  |  | CC |
| 5 | Do conformity support documents satisfactorily cover the essential requirements of the relevant national, international standards and any extant technical regulations? | C.2.2 |  |  |  | CC |
| 6 | Where applicable, are the provisions of TIC Council CBCA CoP Art. C. 2.3. followed? | C.2.3 |  |  |  | CC/IC |
| 7 | Are specific reports or check-list available that document the details and results of visual inspection? | C.3.2 |  |  |  | CC/IC |
| 8 | Does the time of visual inspection coincide with the time of shipment wherever possible, or time required by the exporter/Principal? | C.3.1 |  |  |  | IC |
| 9 | Has the TIC Council member performed any remote inspections using appropriate technology, where permitted by the contracting Government authority? | C.3.3  C.3.4 |  |  |  | CC/IC |
| 10 | Was a risk assessment performed prior to permitting a remote inspection to be performed? | C.3.3  C.3.4 |  |  |  | CC/IC |

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| # | B. FILE AUDIT CHECK LIST | Ref CoP | Y | N | N/A | Office Type |
| To be audited on Registration or Licensing certificates | | | | | | |
| 11 | Are applications for Registration / Licensing available? | C.4.3 |  |  |  | CC |
| 12 | Are applications submitted by importers/exporters for Registration and by Product manufacturer for Licensing? | C.4.3 /  C.5.2 |  |  |  | CC |
| 13 | Is the acceptance of the application conditional on:   1. the importer/exporter/manufacturer having no record of standards contraventions 2. submission of a sample of the product along with appropriate laboratory test reports demonstrating full compliance with the required standards and regulations   *Auditee to provide evidence of submission of sample where feasible or product photographs.* | C.4.4i.  C.4.4ii. |  |  |  | CC |
| 14 | Is the granting of Registration and Licensing subject to:   1. satisfactory review of test reports 2. satisfactory examination of the product   Is the granting of Licensing subject to:   1. satisfactory review of the manufacturer’s quality system documentation 2. satisfactory audit of the manufacturing process | C.4.6/5.4i.  C.4.6/5.4ii  C.5.4i.  C.5.4ii. |  |  |  | CC |
| 15 | Is a record for Registration/Licensing available, including sufficient details to permit the audit of the provisions of the TIC Council CBCA CoP? | C.4.10 |  |  |  | CC |
| 16 | For Registration/Licensing valid for more than 1 year:   1. Was a new application received and is evidence available of a satisfactory review by the TIC Council Member? 2. In case of licensed products, was an annual audit of the manufacturing process and review of the quality management system performed? | C.4.9  C.5.5 |  |  |  | CC |
| 17 | Have the requirements of Registration / Licensing been respected?   1. No testing of a sample from a shipment 2. No automatic extension of product registration/licensing from one import country to another but separate application for each country 3. Registration/Licensing not transferred to third party (except manufacturing plants of same company with same level of quality control at the additional plant) | C.4.5  C.4.7  C.4.8 |  |  |  | CC |

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| # | B. FILE AUDIT CHECK LIST | Ref CoP | Y | N | N/A | Office Type |
| To be audited on consignment certificates under Registration or Licensing regime | | | | | | |
| 18 | Is a record available detailing the examination level of the shipment of registered products? | C4.13 |  |  |  | CC |
| 19 | Was a documentary monitoring process performed for the shipment to ensure continued compliance of the product with the standard? | C.4.12 /  C.5.6 |  |  |  | CC |
| 20 | Does the Registration/Licensing covering the shipment have a valid / non-expired status? | C.4.9 |  |  |  | CC |
| 21 | Is the minimum frequency requirement for visual inspection of shipments (as per contractual requirements or at least twice a year for registered products) observed?  *Auditee to provide evidence of two visual inspections within the last 12 months, provided that the relevant certificate first issued being not more than the contractual requirement or 12 months old.*  *Note: The above requires visual inspection of at least one shipment of registered/licensed products by the Registration Holder at the stipulated intervals. It does not require each individual product item listed in the Registration to be visually inspected at such intervals.* | C.4.12 |  |  |  | CC |
| 22 | Is the minimum frequency requirement for visual inspection of shipments (as per contractual requirements or at least once a year for licensed products) observed?  *Auditee to provide evidence of one visual inspection within the last 12 months, provided that the relevant certificate first issued being not more than the contractual requirement or 12 months old*  *Note: The above requires visual inspection of at least one shipment of licensed products by the License Holder at the stipulated intervals. It does not require each individual product item listed in the Licensing certificate to be visually inspected at such intervals.* | C.5.6 |  |  |  | CC |

July 2022

ends