

Building Science Institute, Ltd. Co. Procedure C-2023 Organizational Conformity Assessment

Related policies:

- Building Science Institute, Ltd. Co. Policy 02-2021 Code of Ethics
- Building Science Institute, Ltd. Co. Policy 05-2022 Secondary Interests
- Building Science Institute, Ltd. Co. Policy 06-2022 Impartiality & Objectivity
- Building Science Institute, Ltd. Co. Policy 08-2022 Terminology
- Building Science Institute, Ltd. Co. Policy 09-2022 General Requirements for Verification Organizations
- Building Science Institute, Ltd. Co. Policy 10-2022 Structural Requirements for Verification Organizations
- Building Science Institute, Ltd. Co. Policy 11-2022 Resource Requirements for Verification Organizations
- Building Science Institute, Ltd. Co. Policy 12-2022 Process Requirements for Verification Organizations

These procedures apply to Building Science Institute, Ltd. Co. True North Quality Management Services Quality Assessors.

Approved by the Building Science Institute, Ltd. Co. Quality Council on April 24, 2023

Approve: Kevin Burk, Brian Christensen, Erik Straite, Amber Wood

Reject: None

Not Voting: Brett Dillon, Chair; Wes Davis

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📌 Building Science Institute, Ltd. Co. Annual Conformity Report Heading

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Date/s of assessment:

Verification Organization:

Organization Representative:

BSI Lead Assessor:

Division of Organization Assessed:

This report covers the following:

- Document Review Only
- Implementation on Site Visit Only
- Document Review & Site Visit
- Other

Other is:

BSI True North Quality Management Services Quality Assessor Signature

Date

Ⓢ BSI Policy 09 General Requirements: Impartiality & Independence

NOTE: A relationship that compromises the impartiality of the Verification Organization 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 customers, etc.

Risks to the impartiality of the Verification Organization shall be considered whenever events occur which might have a bearing on the impartiality of the Verification Organization or its personnel.

The Verification Organization shall describe any relationships that could affect its impartiality to the extent relevant, using organizational diagrams or other means. Examples of relationships that could influence the impartiality include:

- Relationship with a parent organization
- Relationships with departments within the same organization
- Relationships with related companies or organizations
- Relationships with regulators
- Relationships with clients
- Relationships of personnel
- Relationships with the organizations designing, manufacturing, supplying, installing, purchasing, owning, using or maintaining the items verified

The Verification Organization shall have a documented statement emphasizing its commitment to impartiality in carrying out its verification activities, managing conflicts of interest and ensuring the objectivity of its verification activities.

Actions emanating from the top management shall not contradict this statement.

One way for the top management to emphasize its commitment to impartiality is to make relevant statements and policies publicly available.

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Are Verification activities undertaken impartially?

Is the Verification Organization responsible for the impartiality of its verification activities and does it allow commercial, financial or other pressures to compromise impartiality?

Does the Verification Organization identify risks to its impartiality on an on-going basis?

Does it include those risks that arise from its activities, its relationships, or from the relationships of its personnel? However, such relationships do not necessarily present an Verification Organization with a risk to impartiality.

If a risk to impartiality is identified, is the Verification Organization able to demonstrate how it eliminates or minimizes such risk?

Is the top management of the Verification Organization committed to impartiality?

Is the Verification Organization independent to the extent that is required with regard to the conditions under which it performs its services? Depending on these conditions does it meet the minimum criteria stipulated in Annex A (normative)?

BSI Policy 09 General Requirements: Confidentiality

NOTE Legally enforceable commitments can be, for example, contractual agreements.

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Is the Verification Organization responsible, through legally enforceable commitments, for the management of all information obtained or created during the performance of verification activities?

Does the Verification Organization inform the customer, in advance, of the information it intends to place in the public domain?

Except for information that the customer makes publicly available, or when agreed between the Verification Organization and the customer (e.g. for the purpose of responding to complaints), are all other information considered proprietary information and regarded as confidential?

When the Verification Organization is required by law or authorized by contractual commitments to release confidential information, is the customer or individual concerned, unless prohibited by law, notified of the information provided?

Is information about the customer obtained from sources other than the customer (e.g. complainant, regulators) treated as confidential?

🔗 BSI Policy 10 Structural Requirements: Administrative

NOTE: A governmental Verification Organization is deemed to be a legal entity on the basis of its governmental status.

Applications from “Sole Proprietors” may be accepted for accreditation on a case-by-case basis and with strong encouragement to become a registered corporate entity.

The Verification Organization should be a registered juristic person (corporate body). Company name, address, names of directors, contact numbers and registration number shall be made available. Extreme preference is for no “Sole Proprietors”.

The Verification Organization shall describe its activities by defining the general field and range of verification (e.g. categories/sub-categories of products, processes, services or installations) and the stage of verification, and, where applicable, the regulations, standards or specifications containing the requirements against which the verification will be performed.

NOTE: The liability can be assumed by the State in accordance with national laws or by the organization of which the Verification Organization forms a part.

The level of provisions should be commensurate with the level and nature of liabilities that may arise from the Verification Organization’s operations.

It is not the role of the Building Science Institute to approve the level of insurance cover or reserves held by our customers. The types of liability covered by insurance, for example, may include employers’ liability, public liability and professional indemnity.

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Is the Verification Organization a legal entity, or a defined part of a legal entity, such that it can be held legally responsible for all its verification activities?

Is the Verification Organization that is part of a legal entity involved in activities other than verification identifiable within that entity?

Does the Verification Organization have documentation which describes the activities for which it is competent?

Does the Verification Organization have adequate provision (e.g. insurance or reserves) to cover liabilities arising from its operations?

Does the Verification Organization have documentation describing the contractual conditions under which it provides the verification except when it provides verification services to the legal entity of which it is a part?

Ⓢ BSI Policy 10 Structural Requirements: Organization & Management

A one person 'organization' may be accredited provided all relevant clauses of Building Science Institute Policies 09, 10, 11, & 12 are effectively implemented.

NOTE: Verification schemes can require that the Verification Organization participates in the exchange of technical experience with other verification bodies to maintain this capability.

The size, structure, composition and management of an Verification Organization, taken together, shall be suitable for the competent performance of the activities within the scope for which the Verification Organization is accredited.

"To maintain the capability to perform the verification activities" implies that the Verification Organization shall take steps to keep it appropriately informed about applicable technical and/or legislative developments concerning its activities.

Verification bodies shall maintain their capability and competence to carry out verification activities performed infrequently (normally with intervals longer than one year). A Verification Organization may demonstrate its capability and competence for verification activities performed infrequently through 'dummy verifications' and/or through verification activities conducted on similar dwellings.

The Verification Organization shall maintain an up- to-date organizational chart or documents clearly indicating the functions and lines of authority for staff within the Verification Organization. The position of the technical manager(s) shall be clearly shown in the chart or documents.

It may be relevant to provide information concerning personnel which carry out work tasks for both the Verification Organization and for other units and departments.

NOTE: The person fulfilling the function of technical manager does not always have the title of technical manager.

In order to be considered as "available", the person shall be either employed or otherwise contracted.

In order to ensure that the verification activities are carried out in accordance with Building Science Institute Policies 09-2021, 10-2021, 11-2021, & 12-2021, the technical manager(s) and any deputy(ies), shall have the technical competence necessary to understand all significant issues involved in the performance of verification activities.

In an organization where the absence of a key person causes the cessation of work, the requirement for having deputies is not applicable.

The position categories involved in verification activities are Verifiers, Software Analysts, and other positions which could have an effect on the management, performance, recording or reporting of verifications.

The job description or other documentation shall detail the duties, responsibilities and authorities for each position category.

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Is the Verification Organization structured and managed so as to safeguard impartiality?

Is the Verification Organization organized and managed so as to enable it to maintain the capability to perform its verification activities?

Did the Verification Organization define and document the responsibilities and reporting structure of the organization?

Where the Verification Organization forms a part of a legal entity performing other activities, is the relationship between these other activities and verification activities defined?

Does the Verification Organization have available one or more person(s) as technical manager(s), however named, that have overall responsibility to ensure that the verification activities are carried out in accordance with this International Standard?

Are the person(s) fulfilling this function technically competent and experienced in the operation of the Verification Organization?

Does the Verification Organization have one or more named person(s) who will deputize in the absence of any technical manager responsible for on-going verification activities?

Does the Verification Organization have a job description or other documentation for each position category within its organization involved in verification activities?

© BSI Policy 11 Resource Requirements: Personnel

NOTE: The competence requirements can be part of the job description or other documentation.

Where appropriate, verification bodies shall define and document competence requirements for each verification activity.

Competence requirements shall include knowledge of the Verification Organization's management system and ability to implement administrative as well as technical procedures applicable to the activities performed.

When professional judgment is needed to determine conformity, this shall be considered when defining competence requirements.

All requirements of Building Science Institute Policies 09-2021, 10-2021, 11-2021, & 12-2021 apply equally for both employed and contracted persons.

The procedure for formally authorizing verifiers shall specify that the relevant details are documented, e.g. the authorized verification activity, the beginning of the authorization, the identity of the person who performed the authorization and, where appropriate, the termination date of the authorization.

NOTE: Monitoring can include a combination of techniques such as on-site observations, report reviews, interviews, simulated verifications and other techniques to assess performance and will depend on the nature of verification activities. This monitoring must be performed by certified Quality Assessment Designees, either internal to the verification organization or through the Building Science Institute's True North Quality Management Services.

A major aim of the monitoring requirement is to provide the Verification Organization with a tool to ensure the consistency and reliability of verification outcomes, including any professional judgments against general criteria. Monitoring may result in the identification of needs for individual training or needs for review of the Verification Organization's management system.

NOTE: It is expected that on-site observations are performed in a way that minimizes the disturbance of the verifications, especially from the customer's viewpoint.

To be considered sufficient, the evidence that the verifier is continuing to perform competently shall be substantiated by a combination of information such as;

- satisfactory performance of examinations and determinations,
- positive outcome of report reviews, interviews, simulated verifications and other performance assessments,
- positive outcome of separate evaluations to confirm the outcome of the verifications (this may be possible and appropriate in the case of e.g. the verification of construction documentation),
- positive outcome of mentoring and training,
- absence of legitimate appeals or complaints, and
- satisfactory results of witnessing by Building Science Institute's True North Quality Management Services.

An effective program for the on-site observation of verifiers may contribute to fulfill the requirements. The program shall be designed considering;

- the risks and complexities of the verifications,
- results of previous monitoring activities, and
- technical, procedural or legislative developments relevant to the verifications.

The frequency of on-site observations depends on the issues listed above, but shall be at least once during the accreditation re-assessment cycle. If the levels of risks or complexities, or the results from previous observations, so indicate, or if technical, procedural or legislative changes have occurred, then a higher frequency should be considered. Depending on the fields, types and ranges of verification covered by the verifier's authorizations, there may be more than one observation per verifier necessary to adequately cover the whole range of required competencies. Also, more frequent on-site observations may be necessary if there is lack of evidence of continuing satisfactory performance.

In verification areas where the Verification Organization has only one technically competent person the internal observation on-site cannot take place. In such cases the Verification Organization shall have arrangements in place for external observations on-site, unless other sufficient supporting evidence that the verifier is continuing to perform competently is available.

Records of authorization shall specify the basis on which authorization was granted (e.g. the on-site observation of verifications).

Remuneration methods that provide incentives to perform verifications quickly have the potential to negatively affect the quality and outcome of verification work.

Policies and procedures shall assist Verification Organization personnel in identifying and addressing commercial, financial or other threats or inducements which could affect their impartiality, whether they originate inside or outside the Verification Organization. Such procedures shall address how any conflicts of interests identified by personnel of the Verification Organization are reported and recorded. Note,

however, that while expectations for verifier integrity can be communicated by policies and procedures, the existence of such documents may not signal the presence of integrity and impartiality required by this clause.

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Did the Verification Organization define and document the competence requirements for all personnel involved in verification activities including requirements for education, training, technical knowledge, skills and experience?

Does the Verification Organization 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 verification activities?

Do the personnel responsible for verification have appropriate qualifications, training, experience and a satisfactory knowledge of the requirements of the verifications to be carried out?

Do they also have relevant knowledge of: the technology used for building homes verified, operation of processes and delivery of services; the way in which products are used, processes are operated and services delivered; and 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?

Do they understand the significance of deviations found with regard to the normal use of the products, operation of the processes and the delivery of services?

Does the Verification Organization make clear to each person their duties, responsibilities and authorities?

Does the Verification Organization have documented procedures for: selecting, training, formally authorizing, and monitoring verifiers and other personnel involved in verification activities?

Does the documented procedures for training address the following stages: an induction period; a mentored working period with Quality Assessment Designees; and continuing training to keep pace with developing technology and verification methods. The “mentored working period” mentioned in item B normally includes activities where verifications are performed.

Does the training required depend upon the ability, qualifications and experience of each verifier and other personnel involved in verification activities and upon the results of monitoring? Identification of training needs for each person shall take place at regular intervals. The interval shall be selected to ensure “training stages” item C. The results of the review of training, e.g. plans for further training or a statement that no further training is required, shall be documented.

Do personnel familiar with the verification methods and procedures monitor all verifiers and other personnel involved in verification activities for satisfactory performance?

Are results of monitoring used as one means to identify training needs?

Is each verifier observed On-site unless there is sufficient supporting evidence that the verifier is continuing to perform competently?

Are records of monitoring, education, training, technical knowledge, skills, experience and authorization of each member of its personnel involved in verification activities maintained by the Verification Organization?

Is the way in which personnel involved in verification activities are remunerated such that it influences the results of verifications?

Do all personnel of the Verification Organization, either internal or external, that could influence the verification activities, act impartially?

Are all personnel of the Verification Organization including sub-contractors, personnel of external bodies, or individuals acting on the Verification Organization's behalf keeping confidential all information obtained or created during the performance of the verification activities, except as required by law?

🔗 BSI Policy 11 Resource Requirements: Facilities & Equipment

NOTE: The Verification Organization 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 verification, whether owned by the Verification Organization or not, lies solely with the Verification Organization.

Equipment required to carry out verification in a safe manner may include e.g. personal protective equipment and ladders.

If controlled environmental conditions are needed, e.g. for the correct performance of the verification, the Verification Organization shall monitor these and record the results. If conditions were outside acceptable limits for the verification to be performed, the Verification Organization shall record what action was taken.

Continued suitability may be established by visual verification, functional checks and/or re-calibration. This requirement is particularly relevant for equipment that has left the direct control of the Verification Organization.

In order to enable tracking when items are replaced, the unique identification of an item of equipment may be appropriate even when there is only one item available.

When controlled environmental conditions are needed, the equipment used to monitor such conditions shall be considered as equipment that significantly influences the result of verifications.

When appropriate (normally for the equipment requiring calibration) the definition shall include the required accuracy and measurement range.

The justification for not calibrating equipment that has a significant influence on the outcome of verification shall be recorded.

Equipment identified as having a significant influence on the results of an verification must be traceably calibrated to national or international standards where possible.

Where the calibrations are performed in- house, traceability to national standards shall be assured by using reference standards of measurement for which the Verification Organization holds a current calibration certificate or equivalent from a competent body. The certificate or equivalent shall detail an uncertainty of measurement that is appropriate for the equipment that is to be calibrated from the reference standard.

Where traceability to national or international standards of measurement is not applicable, the Verification Organization shall provide satisfactory evidence of correlation or accuracy of verification results.

Where traceability to national or international standards of measurement is not applicable, the participation in relevant comparison programs or proficiency tests is an example of how to obtain evidence of correlation or accuracy of verification results.

When verification bodies use reference standards of measurement to calibrate working instruments the reference standards of measurement should have a higher degree of accuracy than that required of the working instruments they are used to calibrate.

Where equipment is subjected to in-service checks between regular re-calibrations, the nature of such checks, the frequency and acceptance criteria shall be defined.

The information provided for programs of calibration of equipment is valid also for programs of calibration of reference materials.

When the Verification Organization engages suppliers to perform activities which do not include the performance of part of the verification, but which are relevant for the outcome of verification activities, e.g. order registration, archiving, delivery of auxiliary services during an verification, the editing of verification reports or calibration services, such activities are covered by the term "services" used in this clause.

The verification procedure shall ensure that incoming goods and services are not used until conformance with specification has been verified.

Verification Organizations can ensure that computers or automated equipment is adequate for use by:

- validation of calculations before use
- periodic revalidation of related hardware and software
- revalidation whenever changes are made to related hardware or software

Factors that should be considered in protecting the integrity and security of data include:

- backup practices and frequencies,
- effectiveness in restoring data from backup,
- virus protection, and
- password protection.

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Does the Verification Organization have available to it suitable and adequate facilities and equipment to permit all activities associated with the verification activities to be carried out in a competent and safe manner?

Does the Verification Organization have rules for the access to, and the use of, specified facilities and equipment used to perform verifications?

Does the Verification Organization ensure the continued suitability of the facilities and the equipment for their intended use?

Are all equipment having a significant influence on the results of the verification defined and, where appropriate, uniquely identified?

Are all equipment properly maintained, in accordance with documented procedures and instructions?

Where appropriate, are measurement equipment having a significant influence on the results of the verification calibrated: before being put into service and thereafter according to an established program?

Is the overall program of calibration of equipment designed and operated so as to ensure that, wherever applicable, measurements made by the Verification Organization are traceable to national or international standards of measurement where available?

Are reference standards of measurement held by the Verification Organization used for calibration only and for no other purpose?

Are reference standards of measurement calibrated providing traceability to a national or international standard of measurement?

Where relevant, are equipment subjected to in- service checks between regular re-calibrations?

Are reference materials, where possible, traceable to national or international reference materials, where they exist?

Where relevant for the outcome of verification activities, does the Verification Organization have procedures for: selection and approval of suppliers; verification of incoming goods and services ; ensuring appropriate storage facilities?

Where applicable, is the condition of stored items assessed at appropriate intervals to detect deterioration?

If the Verification Organization uses computers or automated equipment in connection with verifications, does it ensure that computer software is adequate for use?

Software updates implemented as required?

Procedures are established and implemented for protecting the integrity and security of data?

Computer and automated equipment is maintained in order to ensure proper functioning?

Does the Verification Organization have documented procedures for dealing with defective equipment?

Is defective equipment removed from service by segregation, prominent labelling or marking?

Does the Verification Organization examine the effect of defects on: previous verifications and when necessary, take appropriate corrective action?

Are relevant information on the equipment, including software, recorded?

Does it include identification, and where appropriate, information on calibration and maintenance?

⊗ BSI Policy 11 Resource Requirements: Sub-contracting

NOTE1: Reasons to subcontract can include the following:

- an unforeseen or abnormal overload;
- key verification staff members being incapacitated;

- key facilities or items of equipment being temporarily unfit for use;
- part of the contract from the client involving verification not covered by the Verification Organization's scope or being beyond the capability or resources of the Verification Organization.

NOTE2: The terms “sub-contracting” and “outsourcing” are considered to be synonyms.

NOTE 3: Where the Verification Organization engages individuals or employees of other organizations to provide additional resources or expertise, these individuals are not considered to be sub-contractors provided they are formally contracted to operate under the Verification Organization’s management system.

Verification activities can overlap with testing and certification activities where these activities have common characteristics. For example, examination of a product and testing of the same product can both be the basis for the determination of conformity in a verification process. It should be noted that Building Science Institute Policies 09, 10, 11, & 12 specify requirements for bodies performing verification.

By definition, accreditation is limited to conformity assessment tasks which the Verification Organization has demonstrated competence to perform itself. Thus, accreditation cannot be granted for activities referred to in the fourth bullet point under note 1, if the Verification Organization does not have the required competence and/or resources. However, the task of assessing and interpreting the results of such activities for the purpose of determining conformity may be included in the scope of accreditation, provided adequate competence for this has been demonstrated.

If the evaluation of the competence of the subcontractor is based partly or in full on its accreditation, the Verification Organization shall ensure that the scope of the subcontractor’s accreditation covers the activities to be sub-contracted.

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Does the Verification Organization itself normally perform the verifications which it contracts to undertake?

Where a Verification Organization sub-contracts any part of the verification, does it ensure and is it able to demonstrate that the sub-contractor 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?

Does the Verification Organization inform the customer of its intention to sub-contract any part of the verification?

Whenever work, which forms part of an verification, is carried out by sub-contractors, does the responsibility for the determination of conformity of the verified item with the requirements remain with the Verification Organization?

Does the Verification Organization record and retain details of its investigation of the competence of its sub-contractors and of their conformity with the applicable requirements of the Building Science Institute?

Does the Verification Organization maintain a register of all sub-contractors?

9 BSI Policy 12 Process Requirements: Verification Methods & Procedures

NOTE 1 The requirements against which the verification is performed are normally specified in regulations, standards or specifications, verification schemes or contracts. Specifications may include customer or in-house requirements.

The Verification Organization’s verification methods and procedures shall include (as appropriate) the requirements of:

- BSI Policy 14 Referenced Standards, Codes, and Programs

NOTE: A standard verification 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 verification bodies or in relevant scientific text or journals. This means that methods developed by any other means, including by the Verification Organization itself or by the customer, are considered to be non-standard methods.

NOTE Resources can include but are not limited to facilities, equipment, reference documentation, procedures or human resources.

Where appropriate the contract or work order control system shall also ensure that;

- contract conditions are agreed
- personnel competence is adequate
- any statutory requirements are identified
- safety requirements are identified
- the extent of any subcontracting arrangements required is identified

For routine or repeat work requests the review may be limited to considerations of time and human resources. An acceptable record in such cases would be an acceptance of the contract signed by an appropriately authorized person.

In situations where verbal work orders are acceptable, the Verification Organization shall keep a record of all requests and instructions received verbally. Where appropriate, the relevant dates and the identity of the client’s representative should be recorded.

The contract or work order control system should ensure that there is a clear and demonstrable understanding between the Verification Organization and its client of the scope of the verification work to be undertaken by the Verification Organization.

NOTE: Data can include textual material, digital data and anything else that is transferred from one location to another where errors could be introduced.

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Does the Verification Organization use the methods and procedures for verification which are defined in the requirements against which verification is to be performed?

Where these are not defined, did the Verification Organization develop specific methods and procedures to be used?

Does the Verification Organization inform the customer if the verification method proposed by the customer is considered to be inappropriate?

Does the Verification Organization have and use adequate documented instructions on verification planning and on sampling and verification techniques, where the absence of such instructions could jeopardize the effectiveness of the verification process?

Where applicable, does the Verification Organization have sufficient knowledge of statistical techniques to ensure statistically sound sampling procedures and the correct processing and interpretation of results?

When the Verification Organization has to use verification methods or procedures which are non-standard, are such methods and procedures appropriate and fully documented?

Are all instructions, standards or written procedures, worksheets, check lists and reference data relevant to the work of the Verification Organization maintained up-to-date and readily available to the personnel?

Does the Verification Organization have a contract or work order control system which ensures that: work to be undertaken is within its expertise and that the organization has adequate resources to meet the requirements; the requirements of those seeking the Verification Organization'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; work being undertaken is controlled by regular review and corrective action; the requirements of the contract or work order have been met?

When the Verification Organization uses information supplied by any other party as part of the verification process, does it verify the integrity of such information? The information referred to in this clause is not information provided by a sub-contractor, but information received from other parties, e.g. a regulating authority or the client of the Verification Organization. The information may include background data for the verification activity, but not results of the verification activity.

Are observations or data obtained in the course of verifications recorded in a timely manner to prevent loss of relevant information?

Are calculations and data transfers subject to appropriate checks?

Does the Verification Organization have documented instructions for carrying out verification in a safe manner?

⑩ BSI Policy 12 Process Requirements: Handling Verification Dwelling Units & Samples

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Does the Verification Organization ensure dwelling units to be verified are uniquely identified to avoid confusion regarding the identity of such dwelling units?

Does the Verification Organization establish whether the dwelling unit to be verified has been prepared?

Are any apparent abnormalities notified to, or noticed by, the verifier recorded?

Where there is any doubt as to the dwelling unit's suitability for the verification to be carried out, or where the dwelling unit does not conform to the description provided, does the Verification Organization contact the customer and record the outcome before proceeding?

Does the Verification Organization have documented procedures to avoid deterioration or damage to dwelling units while under its responsibility?

⑪ BSI Policy 12 Process Requirements: Verification Records

The records should indicate which particular item of equipment, having a significant influence on the result of the verification, has been used for each verification activity.

The Verification Organization shall retain records of original observations, derived data and sufficient information to establish an audit trail, calibration records, staff records and a copy of each verification report or verification certificate issued, for a minimum period of seven years.

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Does the Verification Organization maintain a record system to demonstrate the effective fulfillment of the verification procedures and enable an evaluation of the verification?

Is the verification report or certificate internally traceable to the verifier(s) who performed the verification?

⑫ BSI Policy 12 Process Requirements: Verification Reports & Verification Certificates

It may be useful to identify the verification method in the verification report/certificate when this information supports an appropriate interpretation of the verification results.

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Is the work carried out by the Verification Organization covered by a retrievable verification report or verification certificate?

Does the verification report / certificate include all of the following? identification of the issuing body; unique identification and date of issue; date(s) of verification; identification of the item(s) verified; signature or other indication of approval, by authorized personnel; a statement of conformity where applicable; and the verification results except where detailed elsewhere

Does the energy performance certificate include the following? the relevant energy performance scale with the energy performance indicator or the total energy performance indicator (ERI value)? the name of the verifier and the verification company name? the physical address of the dwelling unit? the requirements for the program label & certificate? the date the energy performance certificate was issued? the year construction was completed? the conditioned floor area of the dwelling unit?

Was the correct certification symbol used?

Does the Verification Organization only issue an verification certificate that does not include the verification results when the Verification Organization can also produce an verification report containing the verification results and both the verification certificate and verification report are traceable to each other?

Are all information reported correctly, accurately, and clearly?

Where the verification report or verification certificate contains results supplied by sub-contractors, are these results clearly identified?

Are corrections or additions to an verification report or verification certificate after issue recorded in accordance with the relevant requirements of this section?

Is the amended report or certificate identifying the report or certificate it replaced?

13 BSI Policy 12 Process Requirements: Complaints & Appeals

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Does the Verification Organization have a documented process to receive, evaluate and make decisions on complaints and appeals?

Is a description of the handling process for complaints and appeals available to any interested party on request?

Upon receipt of a complaint, does the Verification Organization confirm whether the complaint relates to conformity assessment activities that it is responsible for and, if so, shall deal with it?

Is the Verification Organization responsible for all decisions at all levels of the handling process for complaints and appeals?

Does the investigation and decision on appeals result in any discriminatory actions?

14 BSI Policy 12 Process Requirements: Complaints & Appeals Procedure

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Does the handling process for complaints and appeals include at least the following elements and methods: 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; tracking and recording complaints and appeals, including actions undertaken to resolve them; ensuring that any appropriate action is taken?

Is the Verification Organization receiving the complaint or appeal responsible for gathering and verifying all necessary information to validate the complaint or appeal?

Whenever possible, does the Verification Organization acknowledge receipt of the complaint or appeal, and provide the complainant or appellant with progress reports and the outcome?

Is the decision to be communicated to the complainant or appellant made by, or reviewed and approved by, individual(s) not involved in the original verification activities in question?

Whenever possible, does the Verification Organization give formal notice of the end of the complaint and appeals handling process to the complainant or appellant?