CESI-INSPECTION SCHEME

TYPE A INSPECTIONS

REGULATIONS

Document under surveillance by CESI Committee for Safeguarding Impartiality (CSI). It replaces the Regulations C2015254.

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0 INDEX

1 OBJECT OF THE REGULATIONS

These Regulations apply to the inspection activities carried out by CESI, as Type A Inspection Body, in the field of Accredia accreditation No. 024E of conformity with the standard ISO/IEC 17020 and the application guidelines ILAC-P15.
The list of the types of products subject to the Scheme and of the applicable reference normative documents is approved by Accredia and is shown in the annex to the Certificate of accreditation with flexible scope published on the website www.cesi.it.
The Regulations apply to inspections to tests and functional checks on products and manufactured items in the electrical and electronic sector. This activity may include an analysis of the compliance of the project with the applicable normative documents, or of the sample with the reference technical documentation.
The execution of the activities is subject to the acceptance by the Applicant of Accredia Regulations RG-01-04[1] as applicable, as well as of the acknowledgement of the right of Accredia Inspectors to be able to access its premises (together with CESI Inspectors).
CESI guarantees that the personnel involved in the activity are not in conditions of conflict of interest and that they offer the necessary guarantees of confidentiality.
These Regulations and their amendments are verified by CSI with reference to the compliance with the requirements of impartiality, confidentiality and independence.
Pursuant to the standard ISO/IEC 17020[2], the access to the Scheme is not discriminatory, nor conditioned by the size of the company, nor by membership or not in any association or group, but is open to any Applicant submitting a formal request.

2 TERMS AND DEFINITIONS

The terminology used by CESI in carrying out inspection activities is in accordance with the following legislative and regulatory reference documents, in their current edition:

[1]. ISO/IEC 17020 – “Conformity assessment. Requirements for the operation of various types of bodies performing inspection”
[2]. IAF MD 4:2022 – “IAF mandatory document for the use of information and communication technology (ICT) for auditing/assessment purposes”
[3]. Accredia RG01 – “Regolamento per l’accreditamento degli organismi di certificazione, ispezione, validazione e verifica - parte generale”
[4]. Accredia RG01-04 – “Regolamento per l’accreditamento degli organismi di ispezione”
[5]. Accredia RG09 – “Regolamento per l’utilizzo del marchio ACCREDIA”
[6]. Accredia RT-07 – “Prescrizioni per l'accreditamento degli Organismi di ispezione di tipo A, B e C ai sensi della norma UNI CEI EN ISO/IEC 17020:2012”
[7]. ILAC-P15 – “Application of ISO/IEC 17020:2012 for the Accreditation of Inspection Bodies”
[8]. ILAC-P10 – “ILAC Policy on Metrological Traceability of Measurement Results”
[9]. EN ISO/IEC 17025 – “General requirements for the competence of testing and calibration laboratories”
[10]. EN ISO/IEC 17000 – “Conformity assessment - Vocabulary and general principles”.

[1] Accredia Regulations are available on the web site www.accredia.it.
[2] Or equivalent national version. The same applies to all subsequent citations in the text.

To this end, CESI keeps the lists of standards, laws and reference documents updated, as well as the list of sectors for which it has requested/obtained the qualification.

- **Inspection [10]**
  Examination[3] of an object of conformity assessment and determination of its conformity with detailed requirements or, on the basis of professional judgement, with general requirements.
  Note. The results of the inspection may be used as a basis for the Certification of type conformity.
- **Object of conformity assessment [10]**
  Entity to which specified requirements apply. EXAMPLES Product, process, system, installation, project.
- **Specified requirement**
  Need or expectation that is stated. [4] [5]
- **Type A Inspection Body**
  Inspection body that provides inspection services ensuring independence of judgment and that complies with the criteria of Appendix A of the ISO/IEC 17020 standard.
- **Inspection Report**
  Document describing the performance of the work carried out by the inspection body, containing the references to any document that permits the traceability of the activities carried out (Test Reports, Calibration Certificates, etc.). It may include information concerning the verification of the laboratory adequacy, according to specified criteria and any other necessary information not included in the Test Reports. Any Inspection Report/Certificate shall include all of the following:
  a) identification of the issuing body;
  b) unique identification and date of issue;
  c) date(s) of inspection;
  d) identification of the item(s) inspected;
  e) signature or other indication of approval, by authorized personnel;
  f) a statement of conformity where applicable;
  g) the inspection results.
- **Inspection Certificate**
  Document which states in summary form the conclusions of the inspection report and includes the outcome of the inspections concluded positively; both the Inspection Certificate and the inspection report are traceable to each other.
- **Committee for Safeguarding Impartiality (CSI)**
  Committee established by CESI as Product Certification Body accredited by Accredia according to the standard ISO/IEC 17065 and Inspection Body accredited by Accredia according to standard ISO/IEC 17020, which acts as a Mechanism for safeguarding impartiality and supervises the product certification and inspection activities carried out by CESI, managing and assuring the independence, impartiality and the competence of the Body itself. The Committee is representative of all the main parties interested in the certification and inspection activities.

[3] Examination can include direct or indirect observations, which can include measurements or the output of instruments.
[4] Specified requirements can be stated in normative documents such as regulations, standards and technical specifications.
[5] Specified requirements can be detailed or general.

3 GENERAL

3.1 CESI personnel

CESI entrusts the verification and inspection activities to personnel employed or linked to a collaboration relationship with CESI, previously qualified according to specific procedures based on the specific skills possessed, in compliance with the applicable accreditation provisions.

3.2 Confidentiality

CESI, as Type A Inspection Body, is required to guarantee confidentiality during all inspection and conformity assessment activities and has a process for the analysis, assessment and management of risks to confidentiality.
CESI ensures that all information acquired during inspection activities, including the protection of customers' property rights and information acquired from different sources (e.g. complaints, authorities, etc.), are treated in a strictly confidential manner, unless otherwise prescribed from:
• legal provisions;
• provision of accreditation bodies.
In such exceptional cases, the customer is made aware of the information disclosed to third parties.
In order to guarantee the aforementioned confidentiality, the CESI staff involved in the inspection signs a formal commitment to confidentiality, a copy of which is provided to the customer upon request; furthermore, the inspection reports are made available exclusively to the customer with a copy for the CESI archive and for the inspectors.

3.3 Impartiality

CESI, as Type A Inspection Body, is required to guarantee its impartiality during all inspection and conformity assessment activities and has an impartiality risk analysis, assessment and management process.
CESI is not, and undertakes not to be, connected to a party directly involved in activities of: design, construction, supply, installation, acquisition, marketing, possession, use and maintenance of the products verified or similar to those verified and to these competitive.

3.4 CESI Code of Ethics and Italian Legislative Decree 8 June 2001 n. 231

CESI has adopted a Code of Ethics and a Model pursuant to Italian Legislative Decree 8 June 2001 n. 231 regarding the liability of legal persons, companies and associations even without legal personality, which is available on the website https://www.cesi.it/about-us/overview/#code-ethics.
Therefore, the Applicant who entrusts CESI with activities referred to in these regulations is required to read it and behave according to the highest ethical standards, committing himself to compliance with the CESI Code of Ethics and to fulfil his contractual obligations in ways suitable to avoid the occurrence of relevant conduct pursuant to Italian Legislative Decree 231/01.

3.5 CESI accreditations

3.5.1 Obligations in relation to accreditation

In inspection activities, CESI generally operates under accreditation and is therefore required to apply the requirements imposed by the accreditation bodies. In particular, within the schemes and sectors in which accreditation is issued by ACCREDIA (Italian Accreditation Body), pursuant to the international standard ISO/IEC 17020 [1], CESI must operate in compliance with this standard and the regulations and specific provisions issued by ACCREDIA (Ref. §2) and expressly referred to in this document.
ACCREDIA also has the right to carry out audits not only at CESI offices but also at CESI customers, in order to verify CESI work within the accredited inspection schemes[6].
The use of the Accredia mark or the reference to accreditation in the documents issued by CESI as an accredited inspection body is subject to compliance with the provisions of ACCREDIA RG-09 document [5], in the current revision, and in particular the following:

- The Accredia mark must be used in such a way as not to create the impression that ACCREDIA gives any approval to an inspection or that ACCREDIA accepts responsibility for the quality of the inspections, or for any opinion or interpretation that may derive from them.
- The use of the Accredia mark is prohibited to the Customer. The use of the ACCREDIA mark is reserved for Inspection Bodies and cannot be used by the Customer who has received an inspection service from an ACCREDIA accredited Inspection Body.

Accredia is a member of the Mutual Recognition Agreements:

- EA - European Accreditation, European association of accreditation bodies for certification, inspection and verification bodies and testing and calibration laboratories;
- ILAC - International Laboratory Accreditation Cooperation, global association of accreditation bodies for inspection bodies and testing and calibration laboratories.

These agreements ensure that the Reports and Certificates relating to the conformity assessments issued by CESI can be recognized in all the main world markets.

3.5.2 Suspension, renunciation or revocation of CESI accreditation

In the event that CESI accreditation, necessary to operate, is suspended or revoked, or in the event of renunciation, CESI will inform the Customer, as well as support him in any transition to another Inspection Body.
CESI is in no way responsible for any damage caused to the Customer by the suspension, renunciation, limitation of the extension or revocation of accreditation, except in cases of demonstrable fraud and gross negligence.

3.5.3 Subcontracting

Should it be necessary, after informing the Applicant, CESI reserves the right to subcontract part of the requested activities to third parties, where this is not excluded by the applicable legislation. CESI assumes full responsibility for every activity outsourced and guarantees that the person to whom the subcontract is entrusted is competent and compliant with the applicable regulatory provisions and is not involved with the design and manufacturing of the product/system, so as not to compromise the impartiality referred to in par. 3.3

[6] Note: Updated information on CESI accreditation status is available on the websites https://www.cesi.it/about-us/accreditations-certifications/, and, for accreditations issued by ACCREDIA, www.accredia.it.

The Applicant, who will be informed of the details of the subcontracted activities as well as, if requested, of the references of the subcontractor, has the right to refuse, for justified reasons, such assignment to third parties within five (5) working days from the date of the communication.

3.6 Obligations to be borne by the Customer

3.6.1 Customer's obligations

The Customer undertakes to:

- guarantee CESI personnel in charge of inspections access to the design, manufacturing, installation, inspection and testing locations, as well as provide the means and assistance necessary for CESI to carry out the requested service;
- with reference to §3.5.1, guarantee ACCREDIA inspectors, the Italian Accreditation Body, the possibility of accessing the aforementioned places, accompanied by CESI staff. These visits, the purpose of which is to monitor the work of CESI personnel and not of the Customer, are regularly communicated with adequate notice.

3.6.2 Safety at work - Information obligation

The Customer, pursuant to current legislation on safety and prevention of accidents at work, undertakes to provide CESI personnel and any accompanying persons with complete and detailed information relating to the specific risks existing in the work environment, in which they are intended to operate. Furthermore, through its representatives, the Customer undertakes to promote cooperation and coordination for the purposes of implementing measures to protect and prevent risks at work, which may affect the work of the inspectors appointed by CESI and their any companions.
The Customer, based on any existing specific risks, will indicate to CESI staff and any accompanying persons the appropriate personal protective equipment (PPE) and will implement every safeguard in order to allow the activity to be carried out in complete safety.

4 INSPECTION PROCEDURE

4.1 Initial activities

The requests for offers for inspection shall be submitted by the Applicant in writing (by letter, e-mail, fax). CESI offer specifies the various technical, economic and organizational aspects regarding the requested activities and includes, in annex, these Regulations.
In case of acceptance of the offer, it must be sent to CESI signed for acceptance, together with the relative order.

4.2 Conduct of inspections

Once the commercial part has been concluded with the acceptance of the offer, CESI will agree with the Applicant the Contract Plan in which it will highlight the details of the operational methods of the planned inspection(s) and the details of the names of the inspectors in charge.
The Contract Plan has the contents required by Accredia Regulations (RG01-04 [4] and RT-07 [6]).

The planning of the activities will take place by agreeing the timing with the Applicant. It is permissible for CESI to approve the Order Plan proposed by the Applicant. Any missing contents compared to those above will in any case be provided as part of the order planning documentation.
However, the Applicant must prepare all documents and graphics of the "entity" (ref. §2) subject to assessment of conformity of the inspection.
The Inspector's main task is to ensure that the checks he carries out or the tests he witnesses are carried out in accordance with the requirements of the reference regulatory and technical documents. It is not the Inspector's role to question methods, standards or other contractual documents, nor to endorse arbitrary deviations from them.
With reference to §3.1 and 3.5.3, upon decision of CESI, test inspections can also be commissioned, with the consent of the Applicant, to professionals external to CESI who, based on the curricula produced, demonstrate their knowledge of the sectors to be verified and their competence for the activities to be carried out. In any case, the responsibility for the Inspector's actions always lies with CESI.
The Applicant may object to the Inspector by giving reasoned notice within 5 (five) working days of receiving the information.
Inspections may include the following activities.

4.2.1 Compliance analysis of a project with the reference normative documents

The compliance of the technical project documentation provided by the Manufacturer of the test sample with the requirements of the reference normative (technical specifications of the final user, standards, etc.) is verified.
In particular, the verification is carried out by comparing the design requirements of the reference normative documents with the dimensional and constructional characteristics obtainable from the drawings and any other suitable document provided by the Manufacturer (technical sheets, construction specifications, etc.).
The characteristics of the subcomponents of the project in question can be verified by referring to the documents provided by the respective Manufacturers.
No copies of the Manufacturer’s technical documents are kept by CESI.
The results of the activity are included in an Inspection Report.
In the event of non-conformities detected during the inspection activity which lead to a negative outcome of the Inspection, the Customer has the right to subsequently request a new inspection activity, once the non-conformities have been resolved. The new activity may be the subject of a further CESI offer.

4.2.2 Compliance analysis of the test sample with the reference technical documents

The compliance of the sample under test with the Manufacturer’s descriptive technical documents (drawings, technical sheets, constructional specifications, etc.) is verified.
The dimensions of the sample are measured using suitable instruments (callipers, meters, feeler gauges, etc.), appropriately calibrated.
Except for explicit test requirements, no chemical tests will be carried out with the aim of identifying the chemical nature of the materials making up the object under examination.
As regards the subcomponents, the verification will be limited to the comparison between the designations or ratings data detectable on the sample under test with those reported in the technical construction documents.
No copies of the Manufacturer’s technical documents will be archived by CESI.
The results of the activity are included in an Inspection Report.

In the event of non-conformities detected during the inspection activity which lead to a negative outcome of the Inspection, the Customer has the right to subsequently request a new inspection activity, once the non-conformities have been resolved. The new activity may be the subject of a further CESI offer.

4.2.3 Inspections to tests and functional checks on electric and electronic products and manufactured items relevant to electric plants

The following activities are performed:

- Joint analysis by Inspector and Laboratory Responsible concerning the test plan, the normative documents to be applied and the possible accreditation of the laboratory in compliance with ISO/IEC 17025 standard.
- Verification of the adequacy of the apparatuses, testing circuits and measuring instruments.
- Verification of the calibration status and of the traceability to national or international standards of the used measuring instruments.
- Check of the performed tests (with reference also to: methods, severity, test results, etc.). For particular tests, such as long duration tests, the presence of the Inspector is guaranteed in the initial and final stages and in case of critical activities identified by the Inspector himself. The laboratory must in any case provide adequate records to guarantee the regularity and correctness of the test for the part of the test activities that the Inspector did not attend.
- Verification of the contents of the Test Reports issued by the laboratory. The Test Reports shall be issued under the accreditation system in accordance with ISO/IEC 17025 [9] or, alternatively, they shall possess the requirements indicated by this standard and it is the responsibility of the Inspector to assess their compliance (see §4.2.3**Errore. L'origine riferimento non è stata trovata.**).
- Identification of the test sample, by means of the construction drawings supplied by the Manufacturer. Generally, it is up to the Manufacturer to establish the level of detail of the identification to be carried out on the basis of the quantity and quality of the drawings that it presents to the Inspector, but, in the case of an inspection concerning the Certification of Type Conformity, it is the CESI Inspector who establishes the necessary level of detail. A copy of these drawings will not be archived by CESI.
  Note. The documents for the identification should be as far as possible adequate, in quantity and detail, to verify their compliance with the tested object, taking into account that these documents may be later exhibited by the Applicant to the final purchasers or to a Certification Body. The *checks of the Inspector can be random, proportional to the complexity of the drawings and to any number of inaccuracies found (which must be corrected in any case). For the test samples that cannot be verified without being partially or totally destroyed or if particularly costly disassembly is required, the Inspector is allowed to acquire drawings whose correspondence with the tested equipment is declared by the Manufacturer under his sole responsibility. In any case, this fact will be recorded in the Inspection Report.*
- Acquisition of copy of all the documents to be annexed to the Inspection Report.
- Preparation and issue of the Inspection Report.

In the event of non-conformities detected during the inspection activity which lead to a negative outcome of the Inspection, the Customer has the right to subsequently request a new inspection activity, once the non-conformities have been resolved. The new activity may be the subject of a further CESI offer.

4.2.4 Tests and test reports prepared by the laboratory.

In the event that the inspection activity involves the execution, supervision or evaluation of test results, at least one of the following requirements must be satisfied:

1. The laboratory chosen by the Applicant is in possession of accreditation according to ISO/IEC 17025 [9] standard for carrying out the tests to be inspected.
2. The test report supplied by the Applicant to be used for the expression of professional judgment is issued by a laboratory that complies with point 1 and bears the logo of an accreditation body that is a signatory of the ILAC multilateral agreements [8].

In the event that none of the conditions are satisfied, CESI will have to carry out a preventive evaluation of the laboratory chosen by the Applicant to verify that the tests are carried out in compliance with regulatory requirements[7].

4.2.5 Remote inspections

In circumstances of necessity (such as natural disasters, unforeseen unavailability, etc.) CESI may use, with the Client's consent, remote audit techniques to reduce possible problems caused by interruptions in tests or unacceptable delays.
The ways in which remote inspections are carried out are regulated by an internal procedure that CESI will ask to share at the appropriate time. In any case, CESI carries out inspections remotely in accordance with IAF MD 4:2022 [2].

4.3 Issue of the Inspection Report and/or Inspection Certificate

At the end of the activity, CESI issues an Inspection Report containing all the information relevant to the checks carried out, together with their results and the compliance deriving from these results.
When requested, CESI also issues an Inspection Certificate which summarizes what is reported in the Inspection Report with the difference that in compliance with ISO 17020 [1] the Certificate does not include the results of the inspections and the conformities deriving from these results. Therefore, the issuing of the Certificate is possible only when both the Inspection Certificate and the inspection report are traceable to each other.
The Report and the Inspection Certificate are identified by unique identification, date of issue and revision index of the document.
Corrections or additions to the Inspection Report or to any Certificate after their issue can only be made against objective or documentary elements with clear and specific references to the points of the Report already issued, and are recorded in compliance with the relevant requirements of ISO 17020 §7.4. These corrections involve the replacement and consequent cancellation of the previous document issued. Therefore, in a modified Report or Certificate, indications regarding the reasons for the revision are given in the title block.
The skills and responsibilities involved in the modification are the same as those involved in the drafting and approval of the original document being modified.
The issue of the Inspection Reports and/or Inspection Certificates is subjected to the control of CSI in accordance with the provisions of their Regulations.
The Inspection Report and Inspection Certificate can be issued in English or Italian language.

4.4 Use of CESI logo

The Applicant can only make full copies of the Inspection Reports and Inspection Certificates but may not use the CESI logo and the associated Accredia mark in any other way.

[7] Rules and/or regulations and/or technical reference documents used for the inspection may introduce exceptions to the above

5 COMPLAINTS AND APPEALS

The Applicant (or a third party) has the possibility to present complaints about the behaviour of CESI during the inspection process or to propose an appeal to obtain that a decision taken by CESI during the inspection procedure is modified.
CESI guarantees that the process for handling complaints and appeals includes at least the following elements and methods:

- receipt of the complaint and/or appeal through the following channels made available:
  - contact e-mail addresses that are made available to customers;
  - customer satisfaction questionnaire;
  - direct communication with commercial, customer care or technical interfaces.
- assumption of responsibility for the investigation of the complaint or appeal through the collection and verification of all necessary information;
- validation of the complaint or appeal;
- ensuring that any action appropriate to the complainant or appellant is taken.

For the above and in compliance with the applicable regulations and its own procedures, CESI undertakes to:

- define a complaint and appeal management policy and make it known to those submitting complaints or appeals,
- organize a complaint and appeal management service, ensuring adequate resources;
- guarantee the authority and independence of the resources identified for the purposes of managing complaints and appeals through persons(s) not involved in the original inspection activities in question.

All the complaints and appeals are submitted by CESI for examination by the CSI during the first meeting following their presentation.
CSI examines the reasons of the disagreement and the decisions eventually already taken by CESI and deliberates about the matter. CSI resolutions are mandatory for CESI.

6 CHANGES TO THE REGULATIONS

In the event that the requirements applicable to the inspection activity, contained in standards (e.g. standards of the ISO/IEC 17000 series) and/or in other specific documents (e.g. applicable accreditation rules), undergo variations, CESI may make changes and additions to these Regulations, without the prior consent of the Customer, in order to implement the new provisions.
CESI will communicate the modification of the Regulations via information to Customers or, in the event that such modifications have no influence on the inspection activity still to be carried out, via publication on its CESI website.
In the event of changes while the inspection activities are underway, the Applicant is promptly informed by CESI, and retains the right to accept or reject the new version of the Regulation, if the changes are not due to mandatory regulatory or regulatory aspects. regulations. Any costs for documentary and/or field evaluation activities, deriving from the legislative or regulatory changes mentioned above, are in any case borne by the Applicant.
An updated copy of the Regulation can be requested by consulting the website https://www.cesi.it/testing-certification-inspection/product-inspections-certification-training/product-certification-inspection-services/.

The Applicant

Stamp and signature _____

Date _____

The Applicant declares explicitly of having read carefully and approved, with respect and to the effects of the items 1341 and 1342 of the Italian Civil Code, all the sections of the present Regulations.

The Applicant

Stamp and signature _____

Date _____