



KENYA  
ACCREDITATION  
SERVICE

**ACC-CD-14-01**

# **Criteria for Accreditation of Inspection of General Cargo**

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# 1 Background Information

## 1.1 Purpose

This document serves to amplify and interpret the requirements of ISO/IEC 17020 for the accreditation in the cargo inspection field.

## 1.2 Scope

The inspection activities under this field include;

- a) Inspections for quantity;
- b) Inspection for quality;
- c) Inspection for condition of goods, which may include packaging and packing;
- d) Inspection of loading or discharging of goods.

**Note:** Inspection may also include sampling, verification and control activities

## 1.3 Role(s) and Responsibility

Role	Responsibility
All KENAS Technical Staff	Process owner
SCBO	Reviewer
CMIV	Recommender
CEO	Approval
Accreditation Committee	Compliance

# 2 Terms and Definitions

For the purpose of this manual, the following terms and definitions shall apply in addition to those given in ISO/IEC 17000 and the Kenya Accreditation Service Act 2019.

## 2.1 Acronyms and Abbreviations

CEO	Chief Executive Officer
CMIV	Chief Manager, Inspection and Verification
KEBS	Kenya Bureau of Standards
KENAS	Kenya Accreditation Service
SCBO	Senior Accreditation Officer, Certification

## 2.2 Definition of Terms

### 2.2.1 Accreditation

A third-party attestation related to a conformity assessment body conveying formal demonstration of its competence to carry out specific conformity assessment tasks.

### 2.2.2 Inspection

examination of a product, process, service, or installation or their design and determination of its conformity with specific requirements or, on the basis of professional judgment, with general requirements

### 2.2.3 General Cargo

Consists of both containerized and break-bulk goods

## 3 Criteria

### 3.1 Personnel

The inspection body shall engage staff possessing the technical and professional expertise necessary to perform the inspections. The staff may be full-time, part-time or contracted inspectors. Inspection staff shall satisfy the requirements defined in clause 6.1 of **ISO/IEC 17020**. In the case whereby inspection work is regulated by an authority, the qualification of the inspection staff as required by the authority is to be met where applicable.

### 3.2 Inspector qualification criteria

- 3.2.1 The training programme for an inspection staff should generally include, when applicable;
- a) the fundamentals of inspection
  - b) techniques for weighing, measuring, sampling, cleanliness, inspections, analysing, testing, etc.
  - c) product characteristics and uses
  - d) inspection hazards and safety regulations
  - e) safe and correct use of equipment
  - f) reporting of results and certification
  - g) compliance with quality assurance plan, procedures and other applicable requirements.

- 3.2.2 The inspection body shall evaluate and appraise the inspectors to be competent before allowing them to perform inspection work independently.
- 3.2.3 The inspection body shall provide appropriate training when an inspector is required to carry out new inspections or use new inspection procedures or equipment.
- 3.2.4 When an inspector has acquired sufficient inspection experience in a certain field, he may be trained to make professional judgments in that field.
- 3.2.5 Inexperienced inspectors shall not be allowed to make professional judgment.
- 3.2.6 Appropriate training shall also be provided to personnel performing work affecting inspection or the quality management system.
- 3.2.7 The inspection body should maintain a record to describe the type of inspections that each inspector is qualified to perform.
- 3.2.8 The inspection body shall ensure that colour blindness and other sensory deficiency of inspectors do not affect the validity of inspection results.
- 3.2.9 The inspection body should establish and maintain an effective feedback system to monitor the conduct and performance of inspectors.
- 3.2.10 To safeguard against any impropriety of the inspectors and attempts to exert improper influence on them by the suppliers, the inspection body shall implement an effective preventive system. The system may include any combination of the following elements:
- a) Providing proper relevant education to inspectors
  - b) Issuing a code of ethics to inspectors
  - c) Job rotation for inspectors
  - d) Unannounced on-site visits by auditors or supervisors to check the inspection results
  - e) Taking disciplinary actions and legal sanction against inspectors practicing impropriety
  - f) Repeating the inspection using samples kept by the inspection body
  - g) Comparing the average pass-fail rate of an inspector with other inspectors
  - h) Asking inspectors to record their inspection actions in details
  - i) Asking suppliers to sign to acknowledge the inspection body's policy on improper influence before conducting the inspection
  - j) Providing immediate feedback channel for inspectors to report attempts of suppliers to exert improper influence
  - k) Taking legal sanction against suppliers attempting to exert improper influence.

### 3.3 Inspection Methods And Procedures

- 3.3.1 The inspection body shall provide adequate work instructions to inspectors to ensure that all the inspections are performed to the requirements and acceptance criteria of the customers. It shall also provide proforma worksheet or log books for recording results and other details of the inspections.
- 3.3.2 Where a customer does not specify an inspection specification or the specification is incomplete, the inspection body shall discuss with the customer and agree on a suitable specification. The inspection specification shall be documented, whether it is provided by the customer or by the inspection body.
- 3.3.3 Where an allegedly up-to-date inspection specification is provided to the inspector on-site, for replacing the specification provided by the inspection body, the inspector shall verify that the updated inspection specification is issued by the customer and is applicable to the inspection to be conducted. A documented procedure governing such cases shall be provided by the inspection body.
- 3.3.4 Work instructions provided to inspectors shall include the following information:-
- a) What are to be inspected, including the type of inspection, identification of the product, the quantity of the product, the location where inspection is to be performed and the contact person, the inspection time and date and other relevant general information.
  - b) The sampling method, including the sampling plan and the sample size
  - c) The inspection method, including features of the products to be examined
  - d) The inspection and sampling equipment to be used
  - e) Instructions for recording inspection findings
  - f) Details and quantity of any samples to be sent back to the inspection body for further examination or testing
  - g) The method for affixing identification marks to inspection samples and sub-samples, where necessary
  - h) The acceptance criteria, including the workmanship standard and classification of observed defects shall be specified. Where the customer provides reference samples against which the products to be inspected are to be compared, these standard samples shall be provided to the inspector. The inspection body shall have a system for identification of reference samples to avoid confusion
  - i) Any special requirements and instructions relevant to the inspection e.g. instruction for inspection and sampling equipment, environmental condition requirements and preservation of the collected samples.

- 3.3.5 Where the environmental conditions affect the inspection or sampling results, the inspection body shall ensure that they are within the specified limits and are recorded in the inspection records. It may be necessary for the inspector to bring the necessary monitoring equipment.
- 3.3.6 To unify the basis of making professional judgments based on the inspection results, the inspection body shall establish and document appropriate guidelines.
- 3.3.7 The samples selected for inspection shall be representative of the batch of product. Random sampling shall be used unless there is evidence to show that an alternative sampling selection method will give equally representative results.
- 3.3.8 The inspection body shall ensure that proper arrangements and permission for inspection have been made with the owner of the product to be inspected prior to performing the inspection.
- 3.3.9 Where the sampling procedure is labour-intensive, the inspection body shall make prior agreement with the supplier or other responsible party to ensure that sufficient manpower is available to assist the inspector.
- 3.3.10 Before carrying out the on-site inspection, the inspector shall brief the responsible person of the site on the purpose and procedure of the inspection and solicit his cooperation.

#### **3.4 Facilities and Equipment**

- 3.4.1 For equipment which has significant effect on the inspection or sampling results, it is preferable that the inspection body uses those under its control to perform inspections and sampling. Where this is impracticable, equipment not under its control may be used after the inspectors have verified that the equipment is suitable for the purpose, including the measurement range, accuracy and calibration traceability.
- 3.4.2 Records of verification shall be kept, standard verification procedures shall be provided and the inspectors shall also be provided with the necessary reference standards of equipment to conduct the verification checks. Where applicable, calibration record of the equipment shall be kept.
- 3.4.3 To ensure that the necessary equipment is available on-site, the inspection body shall consult the responsible person of the supplier at the inspection site, prior to inspection, to confirm the availability of the equipment at the site and their suitability.

- 3.4.4 When an equipment is used, the inspector shall ensure that the equipment used is functional and in good working condition.
- 3.4.5 When electronic means are used for the processing, storage and transfer of information, the systems shall satisfy the requirements of **ISO/IEC 17020** and this Supplementary Criteria. Particular attention shall be paid to the validation of software, safety and security of information, maintenance of confidentiality and identity authentication.

### 3.5 Handling Inspection Samples and Items

- 3.5.1 Samples and items to be inspected shall be uniquely identified to avoid confusion regarding their identity at any time. Where there is a need to identify the exact sources of origins of individual sub-samples, it may be necessary to assign a unique code to each sub-sample and record the details of its origin, e.g. the carton number, the time and date when the sub-sample was taken, from which batch, etc. These identification codes shall be referenced in the inspection records.
- 3.5.2 Where it is necessary to send samples to laboratories for testing or retain samples for reference, the inspection body shall ensure that they are adequately identified to avoid confusion.
- 3.5.3 With the exception of Type B inspection body, where an organisation is providing analytical testing and inspection for the same project, the organisation has to ensure that there is sufficient independence between the two activities.

### 3.6 Records

- 3.6.1 Inspection records shall include sufficient information to permit satisfactory evaluation of the inspection. The record shall be readily retrievable to support the inspection results. In general the following information shall be shown in records:

a) What have been inspected?

For instance, the types of inspection, identification and quantity of the inspected product, the inspection location, the identities of the inspectors, the inspection time and date where relevant, the identity of the customer and any other pertinent information.

b) What are the inspection and sampling methods used?

For instance the sampling plan and sample size, and any deviations from them

c) What equipment was used in the inspection?

For instance, the equipment's identification and specification, verification records for the equipment.

- d) What is the environmental condition? (Applicable when environment affects inspection results)
- e) What are the inspection findings?

Include results obtained from testing or subcontractors as well as details of any defects or abnormality (which may not constitute a defect) observed.

Results may be in various forms like written records, diagrams or photographs.

- f) What are the source and origin of the sub-samples? (when relevant)
- g) What are the acceptance and defect classification criteria?
- h) What is the rationale and basis of the conclusion or professional judgment?
- i) Are the necessary quality assurance checks performed for the inspection results? For instance, the identity and signatory of the checking and reviewing staff member.

3.6.2 To enable tracing and verification of results or to demonstrate their validity, adequate evidences have to be recorded. For example, photographs and video image may have to be taken and kept to demonstrate that the samples have been correctly taken or to show the details of any observed defects.

3.6.3 For record traceability, it may be useful to include the report number, or an equivalent identification number on every document relating to that inspection. Supplementary information required for the interpretation of the recorded data shall also be kept. Samples may be kept for reference.

### 3.7 Inspection Result Verification

3.7.1 Before issuing the final inspection result to the customer, the inspection body shall ensure that all the inspection results, calculation, data transfer, inspection conclusions and professional judgments have been properly reviewed and verified.

3.7.2 The verification shall confirm the following;

- a) The instructions of the customers have been accurately and comprehensively executed
- b) Proper inspection and sampling methods have been used
- c) The inspection has been performed by qualified inspectors.
- d) The equipment used are suitable and properly checked and calibrated
- e) Samples have been obtained according to the sampling plan, including the location, size, environmental condition, etc.
- f) Samples, and where necessary, sub-samples have been properly identified

- g) Data transfer, calculations and conclusions have been correctly made
- h) The inspection findings have been properly recorded and all records are traceable.
- i) All the necessary data required to derive the conclusion have been gathered. (including results obtained from any laboratory or subcontractor)
- j) Observed defects have been properly classified
- k) The conclusions have been properly derived from the inspection findings
- l) Any professional judgment made have been in accordance with relevant guidelines issued by the inspection body, and the basis of the professional judgment has been clearly recorded.
- m) Information included in reports and certificates are correct.

3.7.3 The verifier shall sign on the record sheet to authenticate that the results have been properly reviewed and confirmed. Other alternative means of authentication providing equivalent assurance is also acceptable.

### 3.8 Inspection Report And Inspection Certificates

3.8.1 Unless otherwise specified, certificates and reports are issued to the customer or its designated person. Certificates and reports shall only record facts ascertained by the inspection body. Any data or material obtained from third parties shall be so indicated.

3.8.2 The minimum information on any certificate or report includes;

- a) Inspection body's company name, address and logo if applicable
- b) Certificate or report number or other identification
- c) Date and place of issue
- d) Type of report or certificate (e.g. weight certificate, quality report etc.)
- e) Name and address of customer
- f) Summary of customer's instructions in case of any special services
- g) Description of;
  - i) Means of Transport
  - ii) Origin/ Destination (if known)
  - iii) Cargo
  - iv) Packing
  - v) Declared quantity
  - vi) Applicable standards (if any)
- h) Findings and observations
- i) Date and place of intervention
- j) Authorized signature
- k) Incorporation of applicable conditions of business

- 3.8.3 Where it is necessary to issue interim results on-site, the inspection results shall be adequately verified, preferably by a staff member of the inspection body independent from the inspection performed.
- 3.8.4 The verifier shall sign the inspection record and the interim report to indicate that he has carried out the checks. The interim report shall clearly state that the results are not final and may be amended after reviewing by the inspection body.
- 3.8.5 The inspection body shall ensure that the issuance of such interim document has the consent of the customer and it is given only to the designated person.
- 3.8.6 The interim report shall present the results clearly and unambiguously. The inspection body shall also ensure that only inspectors appraised to be competent are allowed to issue interim reports. They shall also be properly authorized for issuing such reports. Such interim reports shall not bear any KENAS endorsement.

## 4 Associated Documents

Ref	Document Identifier	Document Title
1.	ISO/IEC 17020	General criteria for the performance of various types of bodies performing inspection
2.	ILAC P15	Application of ISO/IEC 17020 for accreditation of inspection bodies

## 5 Revision/ Amendment Records

Date	Ver	Revised By	Reason for Revision
10/10/2022	01	RSQ	Newly developed/formatted document