



ISO/IEC 17043:2023 Working Document

NOTES:

1. This working document is intended as a checklist for the assessor when conducting PTP Assessments according to ISO/IEC 17043:2023.
2. Please make notes in the Comments column any deficiencies in the PTP's management system identified during the assessment (see item #3). These notes may be useful when preparing the assessment report, the NCR summary and indicate to the reviewer that a thorough assessment was conducted. It is also imperative to note evidence of compliance, making reference to procedures/work instructions, dates, and other specific observations. At a minimum should be 1 comment per major element of the checklist.
3. Do not recommend specific solutions to nonconformances, as this would constitute a conflict of interest.
4. Assess the system only to the relevant standard and to the requested scope of accreditation. Do not be concerned with system requirements stemming from:
 - Company- or facility-imposed policies
 - Regulatory bodies
 - Subcontractors
 - Other sources
5. If additional questions arise during the assessment, indicate them (and the appropriate responses) either in the blank working document pages at the end of this document or in the empty rows included in some of the sections.
6. Please read the questions carefully, as the “preferred” answer in some cases may be “no” or “not applicable.”
7. If, at any time, the assessment team requires assistance in the interpretation of the requirements of ISO 17043:2023, contact the PJLA office immediately.

ASSESSMENT		
Number	Type	Date(s)
Standard(s):		
Team: (LA, TA, TE)		(Lead)
CONFORMITY ASSESSMENT BODY (CAB)		
Name		Location(s)



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ISO/IEC 17043:2023 Clause	Summarized Requirement	Y/N NA	PTP Documents/ Assessor Objective Evidence/ Assessor Comments
4	General requirements		
4.1	Impartiality		
4.1.1	PT activities: Undertaken impartially		
4.1.2	PTP structured and safeguarded to ensure impartiality		
4.1.3	PTP is responsible for impartiality of PT activities and not allow commercial, financial, or other pressures to compromise its impartiality		
4.1.4	PTP monitors its activities and its relationships to identify threats to its impartiality. Monitoring includes relationships of personnel		
4.1.5	Risk mitigation: When identified, PTP demonstrates how risks to impartiality are eliminated or minimized		
4.1.6	PTP top management commits to impartiality		
4.2	Confidentiality		
4.2.1	PTP is responsible for management of all information obtained or created during PT activities PTP informs the client in advance of the information it intends to place in the public domain Except for information that the client makes publicly available, or when agreed upon between the PTP and the client, all information is considered proprietary information and is regarded as confidential		
4.2.2	When PTP is required by law or authorized by contractual arrangements to release confidential information, client concerned notified of the information released, unless prohibited by law		
4.2.3	Information about the participant or customer from a source other than the participant or customer is kept confidential Identity of source is kept confidential by PTP and is not shared with participant or the customer, unless agreed to by the source		
4.2.4	Personnel, including any committee members, contractors, personnel of external bodies, or persons acting on PTP's behalf, keep confidential all information obtained or created during PT activities		
4.2.5	Identity of participants in a scheme is confidential and is known only to persons involved in the operation of the scheme, unless participant or customer waives confidentiality		
5	Structural requirements		
5.1	PTP is a legal entity, or a part of a legal entity, that is responsible for its PT activities		
5.2	PTP identifies management that has responsibility for PT activities		
5.3	PTP defines and documents schemes for which it conforms with ISO/IEC 17043:2023 PTP only claims conformity with ISO/IEC 17043:2023 for those schemes		



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5.4	<p>PT activities are carried out in such a way as to meet requirements of ISO/IEC 17043:2023, participants/customers, regulatory authorities and organizations providing recognition</p> <p>Includes PT activities performed in its permanent facilities and any other site</p>		
5.5.a-c	<p>The PTP:</p> <ul style="list-style-type: none"> • defines its organization and management structure, including within parent organization, and relationships between management, technical operations, and support services • specifies responsibilities, authorities, and interrelationships of all personnel who manage, perform, or verify work affecting results of PT activities • document its procedures to extent necessary to ensure consistent application and validity of its PT activities 		
5.6.a-e	<p>PTP has personnel who, irrespective of other responsibilities, have the authority and resources needed to carry out their duties, including:</p> <ul style="list-style-type: none"> • implementation, maintenance, and improvement of management system • identification of deviations from management system or from procedures for performing PT activities • initiation of actions to prevent or minimize such deviations • reporting to laboratory management on performance of management system and any need for improvement • ensuring effectiveness of PT activities 		
5.7.a-b	<p>PTP management ensures that:</p> <ul style="list-style-type: none"> • communication takes place regarding effectiveness of management system and importance of meeting participants' and other requirements • integrity of management system is maintained when changes to management system are planned and implemented 		
6	Resource requirements		
6.1	General		
6.1.1	PTP has access to personnel, facilities, equipment, systems, and support services necessary to manage and perform its PT activities		
6.1.2	Measurements or tests conducted under responsibility of PTP, related to PT item characterization, or for assessing homogeneity and stability, are conducted in accordance with relevant process requirements of ISO/IEC 17025		
6.1.3	Where PT item is a material that meets definition of "reference material," it is produced under conditions that meet relevant requirements of ISO 17034		
6.2	Personnel		



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6.2.1	PTP has access to competent personnel to perform PT activities		
6.2.2.a-b	PTP ensures personnel have competence to: <ul style="list-style-type: none"> • perform PT activities for which they are responsible • evaluate significance of deviations 		
6.2.3	PTP has a process for managing competence of its personnel		
6.2.4	PTP personnel (either internal or external) that could influence PT activities, act impartially		
6.2.5	PTP has documented information demonstrating competence of its personnel who may influence results of PT activities, including: <ul style="list-style-type: none"> • Education • Qualification • Training • Technical knowledge • Skills • Experience 		
6.2.6.a-e	PTP authorizes personnel to perform specific activities within schemes, including, but not limited to, the following: <ul style="list-style-type: none"> • planning schemes • assessing data/information to determine stability and homogeneity, if applicable, assigned values, and associated uncertainties of the properties or characteristics of an item • evaluating performance participants • giving opinions and interpretations as well as advice to the participants • reviewing and authorizing PT reports 		
6.2.7	PTP management communicates to all personnel their duties, responsibilities, and authorities		
6.3	Facilities and environmental conditions		
6.3.1	PTP ensures facilities are appropriate for operations		
6.3.2	PTP ensures environmental conditions do not compromise activities, including operations that are undertaken at other facilities or undertaken by external service providers		
6.3.3	PTP documents environmental conditions that may influence validity of PT items and any measurements or tests carried out, including conditions that are required by relevant specifications and measurement or test methods PTP controls, monitors, and periodically reviews these conditions recording all relevant monitoring activities If environmental conditions compromise validity of PT activities, PTP halts impacted activities		
6.3.4	Access control to, and use of, areas affecting PT activities managed to the PTP determined extent necessary		



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6.3.5	There is appropriate separation between neighboring areas which include incompatible PT activities There is action taken to prevent cross-contamination, interference, or adverse influences on PT activities		
6.4	Externally provided products and services		
6.4.1.a-c	PTP does not use external service providers for the following activities: <ul style="list-style-type: none"> • designing and planning of schemes • evaluation of performance • authorization of reports 		
6.4.2	PTP has procedures ensuring experience and technical competence of the providers of external products and services are sufficient for their assigned tasks and comply with relevant clauses of ISO/IEC 17043 and other appropriate documents		
6.4.3	PTP informs participants/customers, in advance and in writing, of products and services that are or can be provided externally, when impacting validity of PT activities		
6.4.4.a-d	PTP has a procedure and retain records for: <ul style="list-style-type: none"> • defining, reviewing, and approving requirements for externally provided products and services • defining criteria for selection of external providers and for evaluating and monitoring performance • ensuring externally provided products and services conform to PTP's established requirements and, when applicable, to relevant requirements of ISO/IEC 17043 before they are used or directly provided to customer or participant • taking any actions arising from performance monitoring and evaluation of external providers 		
6.4.5.a-d	PTP communicate its requirements to external providers for: <ul style="list-style-type: none"> • products and services to be provided • acceptance criteria • competence, including any required qualification of organization or personnel involved • PT activities that PTP or its customers intend to perform at external provider's premises 		
6.4.6	PTP responsible to participants or customers for externally provided products and services		
7	Process requirements		
7.1	Establishing, contracting, and communicating scheme objectives		
7.1.1	Review of requests, tenders, and contracts		



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7.1.1.1.a-d	PTP has procedure for review of requests, tenders, and contracts, which ensures: <ul style="list-style-type: none"> • objectives of scheme are sufficiently defined and in agreement with customer's needs • requirements are adequately defined, documented, and understood • PTP has capability and resources necessary to meet requirements • scheme is technically appropriate considering needs of given application 		
7.1.1.2	Review covers all aspects of request, including externally provided products and services		
7.1.1.3	Records of reviews, including any significant changes, any pertinent discussions with customers relating to their requirements, or results of PT activities, are retained		
7.1.1.4	PTP informs customer of any deviation from contract		
7.1.1.5	When amended after the scheme is underway, contract review is repeated and any amendments are communicated to affected personnel		
7.1.2	Scheme communication		
7.1.2.1.a-g	PTP makes detailed information available about scheme to participants/customers, which includes: <ul style="list-style-type: none"> • objectives and relevant details of scheme • criteria to be met for participation • criteria for determining assigned value and evaluation of performance • confidentiality arrangements • critical timelines • any fees for participation • details of how to apply 		
7.1.2.2	Participants/customers are advised in a timely manner by PTP of any changes in scheme design or operation		
7.1.2.3	Records of relevant communications maintained and retained by the PTP, as appropriate		
7.2	Design and planning of a scheme		
7.2.1	General		
7.2.1.1	PTP has procedures for activities directly affecting validity of scheme		
7.2.1.2	When PTP intends to introduce significant changes to activities which can affect validity of scheme, the PTP identifies and manages the risk to ensure validity of scheme is maintained		
7.2.1.3.a-u	PTP develops a documented plan before commencement of scheme which includes following information and, where appropriate, reasons for selection or exclusion of the specific information: <ul style="list-style-type: none"> • personnel involved in design/operation • activities to be undertaken by external providers of products/services with contact details • criteria to be met for participation • number and type of expected participants • description of activities to be performed and results reported by participants 		



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	<ul style="list-style-type: none"> • description of the range of values or characteristics, or both, to be expected • potential major sources of errors of PT offered • requirements for production, quality control, storage, and distribution of PT items • arrangements to prevent collusion between participants or falsification of results and procedures to be employed if collusion or falsification of results is suspected • description of information which will be supplied to participants and time schedule for the various phases of the scheme • for continuous schemes, the frequency or dates upon which PT items will be distributed to participants, deadlines for return of results by participants and, where appropriate, dates on which measurements or tests will be carried out by participants • any information on methods or procedures which participants must use to store, handle, prepare, ship, or dispose of PT item and perform the measurements or tests • procedures for measurement or test methods to be used for homogeneity and stability testing of PT items and, where applicable, to determine their biological viability • preparation of standardized reporting formats for participants • details of statistical analysis used • origin, metrological traceability, and uncertainty of any assigned values • treatment of results from different measurement or test methods, where permitted by scheme • criteria for evaluation of performance of participants • description of data, interim reports, or information to be returned to participants • description of extent to which participant results, and conclusions that will be based on outcome of the scheme, will be made public or shared • actions to be taken in case of lost, delayed, or damaged PT items 		
7.2.2	Statistical design		
7.2.2.1	Statistical designs developed to meet objectives of scheme, based on data type, statistical assumptions, type of errors, and expected number of results		



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7.2.2.2	<p>PTP documents statistical design and data analysis methods to be used to determine assigned value, to evaluate participant results, and to document reasons for selection and assumptions upon which statistical design and data analysis methods are based</p> <p>PTP can demonstrate that statistical assumptions are reasonable and that statistical analyses are carried out in accordance with prescribed procedures</p>		
7.2.2.3.a-j	<p>PTP consider the following in design of statistical analysis:</p> <ul style="list-style-type: none"> • accuracy, as well as uncertainty, required or expected for assigned value for each property or characteristic • minimum number of participants in scheme needed to meet objectives of statistical design • in cases where there is an insufficient number of participants to meet these objectives or to produce statistically meaningful analysis of participant results, the PTP documents, and provides to participants, details of alternative approaches used to assess participant performance • relevance of significant figures reported for participant result, including the number of decimal places • number of PT items to be measured or tested and number of repeat measurements or tests conducted on each PT item • procedures used to establish standard deviation for proficiency assessment or other evaluation criteria • procedures to be used to treat participant results from different measurements or test methods which are not technically equivalent, where permitted • whether the measurement uncertainty of participant results shall be reported and how it will be used to evaluate participant's performance • procedures to be used to identify or handle outliers, or both • where relevant, procedures for evaluation of values that are excluded from statistical analysis • where appropriate, objectives to be met for design and frequency of PT rounds 		
7.2.3	Determination of assigned values		



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7.2.3.1	PTP documents procedure for determining assigned values for properties or characteristics in a particular scheme Where applicable, this procedure considers metrological traceability and uncertainty required to demonstrate that scheme is fit for its purpose		
7.2.3.2	PTP has assigned values with metrological traceability for schemes in calibration		
7.2.3.3	For schemes in areas other than calibration, PTP considers scheme purpose when determining relevance, need, and feasibility for establishing metrological traceability and associated uncertainty of assigned value		
7.2.3.4	When a consensus value is used as assigned value, PTP provides an estimate of uncertainty of assigned value as described in scheme plan		
7.2.3.5	PTP has a policy regarding disclosure of assigned values and policy ensures that participants cannot gain advantage from early disclosure		
7.3	Production and distribution of PT items		
7.3.1	Production of PT items		
7.3.1.1	PTP establishes and implements procedures to ensure that PT items are produced in accordance with the plan fit for the scheme's purpose		
7.3.1.2	PTP establishes and implements procedures to ensure appropriate selection, acquisition, collection, identification, preparation, handling, storage and, where required, disposal of PT items		
7.3.1.3	For schemes that require participants to sample, prepare or manipulate the PT item and submit it to PTP, PTP issues appropriate instructions for preparation, environmental conditions (where applicable), packaging, handling, storage, and shipping of PT item		
7.3.2	Homogeneity and stability assessment of PT items		
7.3.2.1	PTP establishes criteria for suitable homogeneity and stability and base that criteria on the risks that inhomogeneity and instability can impact evaluation of performance of participants		
7.3.2.2	Procedure for assessment of homogeneity and stability documented and conducted, where applicable, in accordance with appropriate statistical designs		
7.3.2.3	PTP assesses homogeneity and stability every PT round after PT items have been packaged in their final form		
7.3.2.4	When experimental evidence is needed to assess homogeneity and/or stability of PT item, PTP uses appropriate methods to assess them		



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7.3.2.5	<p>PTP demonstrates PT items are sufficiently stable to ensure that they will not undergo any significant change throughout conduct of PT round, including storage and transport</p> <p>When this demonstration is not possible, stability is quantified and considered as an additional component of uncertainty associated with assigned value of PT item and/or considered in evaluation criteria</p>		
7.3.2.6	When PT items from previous PT rounds are retained for another PT round, PTP confirms property values or characteristics to be determined in scheme prior to distribution		
7.3.3	Handling and storage of PT items		
7.3.3.1	From the time of production to their distribution to participants, PTP ensures that PT items are appropriately identified and stored to prevent contamination, damage, or deterioration		
7.3.3.2	PTP has appropriate procedures for dispatch to, and receipt from, storage		
7.3.3.3	PTP assesses at specified intervals or prior to distribution, condition of stored PT items to detect possible deterioration		
7.3.3.4	Where potentially hazardous PT items are used, facilities are available to ensure their safe handling, decontamination, and disposal		
7.3.4	Packaging, labelling and distribution of PT items		
7.3.4.1	PTP controls packaging and labelling processes to the extent necessary to ensure conformity with relevant safety and transport requirements		
7.3.4.2	<p>PTP documents relevant environmental conditions for transport of PT items</p> <p>PTP monitors environmental conditions during transport, if necessary</p>		
7.3.4.3	For schemes where participants are required to transport PT items to other participants, or return them to PTP, PTP provides documented instructions for this transport, to ensure validity of the PT item		
7.3.4.4	PTP ensures that labels are securely attached to packaging or individual PT items and ensure that labels are designed to remain legible and intact throughout PT round		
7.3.4.5	PTP follows a procedure to enable confirmation of delivery of the PT items		
7.3.5	Instructions for participants		
7.3.5.1	PTP gives participants sufficient notice before sending PT items, providing date on which PT items are likely to arrive or to be dispatched, unless design of scheme makes it inappropriate to do so		
7.3.5.2.a-j	<p>PTP gives detailed documented instructions to all participants which include:</p> <ul style="list-style-type: none"> • necessity to treat PT items in same manner as routine samples, including use of routine measurement or test methods, unless there 		



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	<p>are requirements of scheme which require departure from this principle</p> <ul style="list-style-type: none"> • details of factors which can influence measurements or tests of PT items • instructions for preparing and/or conditioning of PT items before conducting measurements or tests that would not be considered part of a laboratory's usual expected practices, unless these activities are part of scheme • any appropriate instructions on handling PT items, including any safety requirements • any specific environmental conditions for participant to conduct measurements and/or tests and, if relevant, any requirement for participants to report relevant environmental conditions • specific and detailed instructions on manner of recording and reporting results and associated measurement uncertainties • specific instructions on providing details concerning measurement or test method used by participant, where a single specific measurement or test method is not required • instructions on return or forwarding of PT items, when applicable • last date for the PTP to receive results • information on contact details of PTP 		
7.4	Evaluation and reporting of scheme results		
7.4.1	Data analysis		
7.4.1.1	<p>Results received from participants recorded and analyzed by appropriate methods</p> <p>Procedures established and implemented to check validity of data entry, data transfer, statistical analysis, and reporting</p>		
7.4.1.2	Data analysis generates summary statistics and performance statistics and associated information consistent with statistical design of scheme		
7.4.1.3	Influence of outliers on summary statistics minimized by using an appropriate statistical approach		
7.4.1.4	PTP has procedures for treatment of results from different measurement or test methods, where scheme allows participants to use different methods		
7.4.1.5	PTP has documented criteria and procedures for dealing with measurement or test results that are inappropriate for statistical evaluation		
7.4.1.6	PTP has documented criteria and procedures to identify and manage situations where PT items that have been distributed and collected data are subsequently found to be unsuitable for performance evaluation		
7.4.2	Evaluation of performance		
7.4.2.1	PTP uses valid, documented (including a description of the basis for the evaluation) methods of evaluation which meet scheme objectives		



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7.4.2.2.a-h	Where applicable for objectives of scheme, PTP provides expert commentary on performance of participants about the following: <ul style="list-style-type: none"> • overall performance against prior expectations, taking measurement uncertainties into account • variation within and between participants, and comparisons with any previous PT rounds, similar schemes, or published data • variation between measurement or test methods • possible sources of error and suggestions for improving performance • advice and feedback to participants as part of continuous improvement procedures of participants • situations where unusual factors make evaluation of results and commentary on performance impossible • any other suggestions or general comments • conclusions 		
7.4.3	PT reports		
7.4.3.1	PT reports are clear, accurate, objective, and comprehensive and include data covering results of all participants, together with an indication of performance of individual participants		



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7.4.3.2.a-s	<p>PT reports include the following, unless it is not applicable or PTP has valid reasons for not doing so:</p> <ul style="list-style-type: none"> • name and contact details of PTP • identification of person(s) authorizing report • an indication of which activities are provided by external providers when they affect production or characterization of PT items, or services provided • date of issue and status (e.g., preliminary, interim, or final) of report • unique identification that all its components are recognized as a portion of a complete report and a clear identification of end • a statement of the extent to which results are confidential • a unique identification of the report and scheme • a clear description of the PT items used, including necessary details of the PT item's production and homogeneity and stability assessment • results of participants, including reported measurement uncertainties • procedures used to statistically analyze data • statistical data and summaries, including assigned values, range of acceptable results and graphical displays • details of metrological traceability, and uncertainty of any assigned value • procedures used to establish any assigned value and its uncertainty • assigned values, their uncertainties and summary statistics for measurement or test methods used by each group of participants (if different measurement or test methods are used by different groups of participants) • procedures used to establish standard deviation for proficiency assessment, or other criteria for evaluation • comments on performance of participants • information about design and implementation of scheme • advice on interpretation of statistical analysis • comments or recommendations based on outcomes of PT round 		
7.4.3.3	Reports are made available to participants within planned timescales		
7.4.3.4	PTP has a policy for use of reports by participants/customers		



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7.4.3.5.a-c	<p>When it is necessary to issue a new or amended report for a scheme or PT round, report includes:</p> <ul style="list-style-type: none"> • unique identification • reference to original report that it replaces or amends • identification of amendment and statement concerning reason for amendment or re-issue 		
7.4.3.6	When issuing an amended report to a subset of participant(s), analysis of the potential impact on other participants for that scheme and/or PT round is made to ensure there is no influence on general performance of other participants		
7.4.3.7	When PTP issues a statement of participation or performance in addition to PT report, PTP ensures statement is not misleading		
7.5	Control of the scheme process		
7.5.1	Technical records		
7.5.1.1	<p>PTP ensures that technical records for each PT activity contain the results, reports, and sufficient information to facilitate, if possible, identification of factors affecting the PT performance evaluation and its associated characteristics and enable the repetition of the PT activity under conditions as close as possible to the original</p> <p>Technical records include date and identity of personnel responsible for each PT activity and for checking data and results</p>		
7.5.1.2	Data used to verify PT items, instructions to participants, original responses of participants, and any other information included in reports are recorded at time they are made and identifiable with the specific task		
7.5.1.3	<p>PTP ensures that amendments to technical records can be tracked to previous versions or to original information submitted by participants</p> <p>Both original and amended data and files retained, including the date of alteration, an indication of altered aspects and personnel responsible</p>		
7.5.2	Control of data and information management		
7.5.2.1	PTP has access to data and information needed to perform its activities		
7.5.2.2	<p>PTP information management system used for collection, processing, recording, reporting, storage, or retrieval of data validated for functionality, including the proper functioning of interfaces before introduction</p> <p>Whenever there are any changes, including PTP software configuration or modifications to commercial off-the-shelf software, changes are authorized, documented, and validated before implementation</p>		



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7.5.2.3.a-e	PTP information management system is: <ul style="list-style-type: none"> • protected from unauthorized access • safeguarded against tampering and loss • operated in an environment that complies with the system supplier or PTP specifications or, in the case of non-computerized systems, provides conditions which safeguard the accuracy of manual recording and transcription • maintained in a manner that ensures integrity of data and information • including recording of system failures and appropriate immediate and corrective actions 		
7.5.2.4	PTP information management system is managed and maintained off-site or through an external service provider, PTP ensures that external service provider or operator of the system complies with applicable requirements of ISO/IEC 17043:2023		
7.5.2.5	PTP ensure that instructions, manuals, and reference data relevant to PTP information management system are made readily available to personnel		
7.5.2.6	Calculations and data transfers checked in an appropriate and systematic manner		
7.5.3	Surveillance of the processes		
7.5.3	PTP has a procedure to ensure validity of scheme Surveillance activities are planned and reviewed, and resulting data recorded for continuous improvement process		
7.5.4	Nonconforming work		



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7.5.4.1.a-f	PTP has procedure that is implemented when any aspect of its schemes do not conform to its own procedures or the agreed requirements of its participants/customers, which ensure that: <ul style="list-style-type: none"> • responsibilities and authorities for management of nonconforming work are defined • actions (including halting work of ongoing schemes and/or PT rounds and withholding schemes and/or PT round reports, as necessary) are defined and are based upon risk levels established by the PT provider • an evaluation of the significance of nonconforming work is made, including an impact analysis on previous PT activities • a decision on need for action and timescale is taken immediately, together with any decision about the acceptability of nonconforming work • scheme participants/customers, as appropriate, are informed and nonconforming PT items or PT reports already sent to participants are recalled or disregarded • responsibility for authorization of resumption of work is defined 		
7.5.4.2	PTP retains records of nonconforming work and actions taken		
7.5.4.3	Where evaluation indicates that nonconforming work can recur or that there is doubt about compliance of PTP with their own procedures, corrective action procedure is implemented		
7.6	Handling of complaints		
7.6.1.a-c	PTP has a documented procedure for handling complaints, including at least the following <ul style="list-style-type: none"> • description of process for receiving, substantiating, and investigating complaint and deciding what actions shall be taken in response • tracking and recording complaint, including the actions undertaken to resolve it • ensuring appropriate action is taken 		
7.6.2	A description of process for handling complaints is publicly available		
7.6.3	Upon receipt of a complaint, PTP confirms whether the complaint relates to PT activities and, when so, resolves complaint		
7.6.4	PTP receiving complaint is responsible for gathering all necessary information to determine whether complaint is substantiated		
7.6.5	Whenever possible PTP acknowledges receipt of complaint and provides complainant with outcome and, if applicable, progress reports		
7.6.6	PTP ensures that investigation and resolution of complaints do not result in any discriminatory actions		



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7.6.7	Resolution of complaints are made by, or reviewed and approved by, persons not involved in the subject of complaint in question Where PTP resources do not permit this, impartiality is maintained		
7.6.8	Whenever possible, PTP gives formal notice of end of handling of complaint to complainant		
7.6.9	PTP responsible for all decisions at all levels of handling process for complaints		
7.7	Handling of appeals		
7.7.1.a-c	PTP has a documented procedure for handling appeals that includes at least the following: <ul style="list-style-type: none"> a description of process for receiving and investigating appeal and deciding what actions shall be taken in response tracking and recording appeal, including the actions undertaken to resolve it ensuring appropriate action is taken 		
7.7.2	Description of process for handling appeals publicly available		
7.7.3	PTP acknowledges receipt of appeal and provides appellant with outcome and, if applicable, progress reports		
7.7.4	PTP receiving the appeal is responsible for gathering all necessary information to determine whether appeal is valid		
7.7.5	PTP is responsible for all decisions during process for handling appeals		
7.7.6	Decisions on appeal are made by, or reviewed and approved by, persons not involved in decision that is subject of the appeal in question		
7.7.7	PTP refrains from any discriminatory actions during investigations and decisions on appeals		
8	Management system requirements		
8.1	General requirements		
8.1.1	PTP establishes, documents, implements, and maintains management system supporting and demonstrating fulfillment of requirements of ISO/IEC 17043:2023 and its scope of PT activities		
8.1.2	Management system of the PTP include: <ul style="list-style-type: none"> policies responsibilities management system documentation control of management system documents control of records actions to address risks and opportunities improvement corrective actions internal audits management reviews 		
8.1.3	By establishing, implementing, and maintaining a quality management system, a PTP may support and demonstrate fulfillment of management system requirements of ISO/IEC 17043.		



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ISO/IEC 17043:2023 Clause	Summarized Requirement	Y/N NA	PTP Documents/ Assessor Objective Evidence/ Assessor Comments
8.1.4	There is evidence of PTP commitment to development, implementation, and improving the effectiveness of management system		
8.2	Management system documentation		
8.2.1	Policies and objectives address the competence, impartiality, and consistent operation of the PTP		
8.2.2	PTP management system references and includes all documentation, processes, systems, and records related to fulfilment of the requirements of ISO/IEC 17043		
8.2.3	Personnel involved in PT activities have access to parts of management system documentation and related information that are applicable to their responsibilities		
8.3	Control of management system documents		
8.3.1	PTP controls documents (internal and external) that relate to the fulfilment of ISO/IEC 17043:2023		
8.3.2.a-f	PTP ensures that: <ul style="list-style-type: none"> • documents are approved for adequacy prior to issue by authorized personnel • documents are periodically reviewed and updated as necessary • changes and current revision status of documents are identified • relevant versions of applicable documents are available at points of use and their distribution is controlled • documents are uniquely identified • the unintended use of obsolete documents is prevented, and that suitable identification is applied to them if they are retained for any purpose 		
8.4	Control of records		
8.4.1	PTP establishes and retains legible records to demonstrate fulfilment of the requirements of ISO/IEC 17043:2023		
8.4.2	PTP implements controls needed for identification, storage, protection, back-up, archive, retrieval, retention time, and disposal of its records		
8.4.3	PTP retains records for a period consistent with its contractual obligations Access is consistent with confidentiality commitments and records are readily available		
8.5	Actions to address risks and opportunities		
8.5.1.a-d	PTP considers risks and opportunities associated with PT activities to: <ul style="list-style-type: none"> • give assurance that management system achieves its intended results • enhance desirable effects to achieve purpose and objectives of PTP • prevent, or reduce, undesired impacts and potential failures in PT activities • achieve improvement 		



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ISO/IEC 17043:2023 Clause	Summarized Requirement	Y/N NA	PTP Documents/ Assessor Objective Evidence/ Assessor Comments
8.5.2.a-c	PTP plans the following: <ul style="list-style-type: none"> • actions to address these risks and opportunities • how to integrate and implement these actions into its management system • how to evaluate the effectiveness of these actions 		
8.5.3	Actions taken to address risks and opportunities are proportional to the potential impact on the validity of the scheme		
8.6	Improvement		
8.6.1	PTP identifies and selects opportunities for improvement and implements any necessary actions		
8.6.2	PTP seeks feedback, both positive and negative, from its participants/customers		
8.6.2	Feedback is analyzed and used to improve management system, PT activities, and customer service		
8.7	Corrective actions		
8.7.1.a-f	When a nonconformity occurs, PTP does the following: <ul style="list-style-type: none"> • reacts to the nonconformity and, as applicable: <ul style="list-style-type: none"> - acts to control/correct it - addresses consequences • evaluates the need for action to eliminate cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by: <ul style="list-style-type: none"> - reviewing and analyzing the nonconformity - determining the causes of the nonconformity - determining if similar nonconformities exist, or could potentially occur • implements any action needed • reviews the effectiveness of any corrective action taken • updates risks and opportunities determined during planning, if necessary • makes changes to the management system, if necessary 		
8.7.2	Corrective actions are appropriate to the effects of nonconformities encountered		
8.7.3.a-b	PTP retains records as evidence of the following: <ul style="list-style-type: none"> • nature of nonconformities, cause(s) and any subsequent actions taken • results of any corrective action 		
8.8	Internal audits		



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ISO/IEC 17043:2023 Clause	Summarized Requirement	Y/N NA	PTP Documents/ Assessor Objective Evidence/ Assessor Comments
8.8.1.a-b	PTP conducts internal audits at planned intervals to provide information on whether the management system: <ul style="list-style-type: none"> • conforms to: <ul style="list-style-type: none"> - PTP's own requirements for its management system, including PT activities - requirements of ISO/IEC 17043:2023 • is effectively implemented and maintained 		
8.8.2.a-f	PTP does the following: <ul style="list-style-type: none"> • plans, establishes, implements, and maintains an audit program that includes the frequency, methods, responsibilities, planning requirements, and reporting, which takes into consideration the importance of PT activities concerned, changes affecting PTP, and results of previous audits • ensures that internal audits are conducted by personnel knowledgeable in conduct of PT activities and auditing and requirements of the document and that these personnel are independent of the activities being audited, wherever resources permit • defines the audit criteria and scope for each audit • ensures that the results of the audits are reported to relevant management • implements appropriate correction and corrective actions without undue delay • retains records of implementation of audit program and audit results 		
8.9	Management reviews		
8.9.1	PTP management reviews its management system at planned intervals, to ensure its continuing suitability, adequacy, and effectiveness, including stated policies and objectives related to fulfillment of ISO/IEC 17043:2023		



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ISO/IEC 17043:2023 Clause	Summarized Requirement	Y/N NA	PTP Documents/ Assessor Objective Evidence/ Assessor Comments
8.9.2.a-o	Inputs to management review recorded and include information related to the following: <ul style="list-style-type: none"> • changes in internal and external issues that are relevant to PTP • fulfillment of objectives • suitability of policies and procedures • status of actions from previous management reviews • outcomes of recent internal audits • corrective actions • assessments by external bodies • changes in volume and type of work or in range of PT activities • customer, participant, and personnel feedback • complaints and appeals • effectiveness of any implemented improvements • adequacy of resources • results of risk identification • outcomes of surveillance of processes • other relevant factors, such as training 		
8.9.3.a-d	Outputs record all decisions and actions related to at least the following: <ul style="list-style-type: none"> • effectiveness of management system and its processes • improvement of activities related to fulfillment of requirements of ISO/IEC 17043:2023 • provision of required resources • any need for change 		
SOP-3	Compliant		
PL-1	Compliant		
PL-2	Compliant		



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PL-3	Compliant		
PL-4	Compliant		