

## Termination of assessments

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### **Scope:**

This Rule informs about the procedures in the case of termination of assessments.

It serves conformity assessment bodies (CABs) as information as well as assessors and employees of the Deutsche Akkreditierungsstelle GmbH (DAkkS) as a binding instruction in the case of a required termination of an assessment.

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### 1 Purpose / Scope

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### 2 Terms and definitions

Termination of an assessment	Unplanned cessation of an assessment of a conformity assessment body (CAB) A Termination can be initiated unilaterally or with mutual agreement
Assessor	Person who is authorized by the accreditation body to conduct an assessment of a CAB, either individually or as part of an assessment team <i>In the following, this term is used for an individual assessor or an assessment team</i>

### **3 Description**

#### **3.1 Introduction**

An assessment includes obtaining information, facts, records, and objective evidence to determine the status of compliance of applicable specified requirements for the CAB and their activities. To that end, the CAB ensures the access to all facilities, equipment, documents, and records related to accreditation and provides support to the assessor in his activities. The assessment takes place in a climate of mutual respect.

The termination of an assessment by the assessor will therefore only be necessary in exceptional cases. In cases of conflicts during an assessment, a basis for continuing the assessment is generally sought and found between the assessor and the CAB.

#### **3.2 Reasons for terminating an assessment**

The following reasons can result in terminating an assessment:

- The assessment is terminated on the request of the CAB;
- The CAB denies access to relevant facilities, equipment or documents related to accreditation so that an assessment of the CAB is not possible. If only parts are affected by the denial, this does not justify an immediate termination. Rather, the denied parts are to be documented in the report;
- The behavior of the CAB towards the assessor is unacceptable<sup>1</sup>;
- The assessment commenced indicates that the CAB does not meet fundamental requirements. The nonconformities take on such dimensions regarding number and relevance that a subsequent document review and/or follow-up assessment are not sufficient and a complete new assessment is required. The presence of several critical nonconformities does not necessarily justify the termination of an assessment.

#### **3.3 Procedure on-site**

If the termination is requested by the CAB, the lead assessor advises the CAB to get immediately in contact with DAkKS. If the termination is requested by an assessor the issue shall be coordinated in the assessment team prior to the information of the CAB. If the reason for terminating the assess-

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<sup>1</sup> E.g. insult or deception of the assessor. What is not meant here are substantive debates for instance with regard to findings of the assessor.

ment cannot be clarified sufficiently in the discussion between the assessor and the CAB, the DAkkS Office (Head of the Division, if necessary together the responsible customer manager) shall be contacted, usually by the Lead Assessor. The reasons for termination of the assessment are to be presented and any further procedures are to be agreed upon with the DAkkS Office.

If possible, the conflict situation should be discussed between the assessor/DAkkS and the CAB's management to find a solution without termination of the assessment. If a termination of the assessment is inevitable even after consulting the issue with the DAkkS office and discussing it with the CAB, the assessor shall document the facts in writing in a short note giving the reasons for the termination and the procedure on-site. If agreement on the termination of the assessment is reached between the assessor and the CAB, the short notice is to be signed by the CAB and to be submitted to the DAkkS without delay.

The possible consequences arising in case of termination of the assessment have to be addressed to the CAB by the assessor or the Head Office of the DAkkS.

### **3.4 Consequences arising on termination of an assessment**

The termination of an assessment may lead to the following consequences:

- The assessment is to be fully repeated or repeated for those parts that could not be assessed due to the termination of the assessment;
- The accreditation procedure cannot be continued and the application will be dismissed;
- In the case of termination of a surveillance or reassessment measures shall be considered in accordance with Art. 5, Section 4 of Regulation (EC) No. 765/2008 and of Section 4 of 71 SD 0 001 (e.g. reducing of the accredited scope or withdrawal of the accreditation certificate).

After receipt of the required documentation on the procedure, necessary measures are further processed and defined by the Customer Manager in charge of the procedure in coordination with the responsible Head of Division.

## **4 Applicable documents**

Regulation (EC) No. 765/2008	Regulation (EC) No. 765/2008 of the European Parliaments and of the Council of 9 July 2008 setting out the requirements for accreditation and market surveillance relating to marketing of products and repealing Regulation (EEC) No. 339/93 of the Council
71 SD 0 001	General Rules on Accreditation of Conformity Assessment Bodies