



Association of British Certification Bodies

**Minutes of the Management Systems Sector Committee
meeting held on Tuesday 15 January 2019
at
UKAS, 2 Pine Trees, Chertsey Lane, Staines-upon- Thames, TW18 3HR**

Members present:

Steve Russell	NQA
Karen Green	BSI
Jim Speirs	System Certification
Gary Charlesworth	Avalon Certification
David Hill	Avalon Certification
James Gibb	Advanced Certification
Keith Goddard	Advanced Certification
Andrew Ten-Broeke	NMO
Vanessa Desroches	AFNOR
Gary Jones	GCL

In attendance:

Wayne Terry	ABC/B Chief Executive
Steve Randall	UKAS
Kevin Belson	UKAS
Marcus Long (part)	IIOC & IAF Director

1.0 Apologies for absence

Apologies had been received from Nonn Reynolds (BSI), Wayne Thomas (SIRA/CSA) Tracie Hunter (BASEC) and Matt Gantley (UKAS)

2.0 Minutes of the meeting held on 4 June 2018

The minutes were agreed as a true record.

3.0 Matters arising from the minutes not covered elsewhere on the agenda

There were no matters arising from the minutes.

4.0 Liaison reports

4.1 SBAC/CBMC

Aerospace IAQG: KG reported that at the last meeting in held December 2018, it was relatively sedate, which was probably because

of the 'and breathe' effect post transition however the main talking point was the re write 9103-003 which is due to be published in 2019.

A workshop was held in early January with representatives from all interested parties including CB's, AB's, AAB's, TPAB's & MOD was a detailed review resulting in 75 action points to take back to the IAQG.

Main updates of 9104-003 are:

A new requirement for auditor performance monitoring and improvement plans

New route for AA (team members) to become AEA (team leaders) based on CB audit experience, 3 minimum of 20 days per year and full 3 year certification cycle.

New Requirements for AAB to act on CB auditor feedback including suspension and withdrawal of Auditors from the Aerospace scheme

Next step is to feed the above information back to the writing team which is due for completion by the end of January.

4.2 **DIQF**

KG reported on the last meeting was held in December 2018

CQI update planning for 2019 includes e- mentoring, digital membership, and the ability to create your own Quality career pathway

Progress on 4 work streams:

Work stream 1 Counterfeit avoidance working group:

E learning course is now live on the defence learning environment Def. Stan 05-135 initial review completed and presented to this working group, there are 8 work streams running with the newest 'action fraud' that looks at the advise in Def. Stan 03-135 for seeking civil action when encountering counterfeit material.

Work stream 2 Improved understanding and implementation of AQAP 2110Rev D supply chain requirements:

Little progress made in the group over last 3 months but a survey via survey monkey will be live March 2019 to gather the current situation or compliance with AQAP 2110 requirements.

Work stream 3 Attracting and Retaining competent people in quality across the defence sector:

CQI DSIG strategy has been reviewed and endorsed by CQI and special interest groups with the framework being reviewed and undergoing amendments. Its release is expected Q1 2019

Work stream 4 Defence Equipment fault reporting analysis:

Group are investigating current fault reporting methods to understand best practice, common features, weaknesses and improvements.

In addition, work is undergoing to quantify costs, review of defence authority actions as well as the Front Line Commands to change and ISO 9001 compliance.

Standards Update:

- ISO 44001 Collaborative Working- MOD policy is to work to the principles of ISO 44001 but certification to the standard is optional – this is to be clarified by the commercial team
- AQAP 2105 Quality Plans is awaiting ratification under STANAG 4107
- AQAP 3121 Final Inspection is in editorial review
- AQAP 2210 Supplementary Software QMS scope has been defined, a study draft is now being produced

The Acquisition System Guidance (ASG) managing quality has been updated to reflect requirements of JSP 940 MOD policy for quality

- Def. Stan 05-135 Avoidance of Counterfeit material is under review

There is a potential for JOSCAR MOD involvement [an accreditation system for the aerospace, defence and security sectors- this is to be covered at the next meeting

KG also reported on the MOD quality event survey that came out of the 76th DIQF to provide the three questions that Mr Tim Rowntree, Defence Authority for Technical and Quality Assurance, asked at the recent MOD Quality events. DIQF members are requested to answer these questions by 11th January 2019 so a more diverse range of answers can be given to the Defence Authority.

1. Have we got the balance right between hands-on Quality monitoring & surveillance, and delegating to our Suppliers?
2. If we need to do more, where can we have best effect: Production and support quality surveillance , commercial measures or stronger controls further forward in design and planning?
3. Are our current Quality plans fit for purpose? What needs to be done?

4.3 **QS/1**

ISO TC 176 Update: Under development Standing Committee 2

ISO/FDIS 18091: Quality management systems -- Guidelines for the application of ISO 9001 in local government.

Publication date: 2019-03

ISO/PRF TS 54001: Quality management systems -- Particular requirements for the application of ISO 9001:2008 for electoral organizations at all levels of government.

Publication date: 2019-04

4.4 **SES/1/1**

ISO TC 207/SC1 & SC2:

ISO/DIS 14002-1: Environmental management systems -- Guidelines for using ISO 14001 to address environmental aspects and conditions within an environmental topic area -- Part 1: General

DIS registered – ready for ballot.

ISO/FDIS 14005: Environmental management systems -- Guidelines for a flexible approach to phased implementation

FDIS registered for formal approval

4.5 **CAS/1**

ISO/IEC CD 17000: Conformity assessment -- Vocabulary and general principles.

Committee Draft approved for registration as DIS.

ISO/IEC TS 17021-8: Conformity assessment -- Requirements for bodies providing audit and certification of management systems -- Part 8.

Competence requirements for auditing and certification of management systems for sustainable development in communities.

International Standard published.

ISO/IEC DIS 17029 : Conformity Assessment -- General principles and requirements for validation and verification bodies

DIS ballot closed.

ISO/IEC WD TR 17032 : Conformity assessment -- Guidelines and examples of a certification scheme for processes

Working draft (WD) study initiated

BS 9009 – External Providers to the Public Sector: Specification to assess the trustworthiness of organisations bidding for Government contracts.

New standard appears to have support from various Government departments; Cabinet Office, BEIS & Commission for Small Business

5.0 Meetings

5.1 EACC

KB reported that the last meeting was held in Warsaw, Poland on the 11th & 12th Sept 2018 and was attended by 66 attendees.

A number of questions were considered and discussed by the review panel, some of which will be forwarded to IAF, including;

- How to reference schemes in product certification scopes
- Approval or refusal of schemes
- Difference between 'external sources' and 'contractors'
- Calibration Services under ISO 134815
- IAF MD8: for use with European Medical Device Directives
- IAF MD21: the necessity for an additional day when a CB is transitioning at recertification
- IAF MD12: Application for Persons CB's
- ISO/IEC 17024: the validity of IT based examinations
- Statistical sampling of CB files
- Interpretation of the IAF decision 16/10/03 on Scopes of Certification
- Use of IAF MD's for European Notified Bodies
- Agreements between external audits/technical experts and the CB
- Timing of the Initial Audit Process

One Voice: The committee discussed practical application of the one voice concept but agreed to spend more time reviewing and debating new and revised IAF documents to see if the committee can reach a common view on EA's consideration of these. However, it was agreed that EA should not dictate how NAB's should vote!

Risk Based Thinking: A half day workshop was held and some very interesting approaches, views and opinions were put forward by the attendees. These are now being collated and will be made available to the CC members. The Workshop at our next meeting will continue the theme based on more focussed questions.

ICT & Data Security: A new Working Group that was well supported and we will progress was made on the Draft Terms of Reference were presented. This proposed WG will concentrate on certification

standards and schemes, as well as regulations requiring certification activity, in this growing field.

New Work Item: Revision of EA-6/02, EA Guidelines on the Use of EN 45011 and ISO/IEC 17021 for Certification to EN ISO 3834, according to the rationale for revision set out in the NWIP (subsequently agreed at the EA General Assembly).

Other Key Discussions:

- IAF Resolution on reinstatement of ISO 9001 and ISO 14001 after the transition deadline and the meaning of the 6-month period
- The IAF Database on Certification
- Growth in the number of man-day tables and calculations in IAF documents and the coordination of them (EA will discuss this at the IAF TC)
- Presentations from the EACC Working Groups for Food, Environment and EUETS
- Update on standards and guidance including the status of ISO 17029
- Compliance with and certification for the European General Data Protection Act (GDPR)
- ISO/IEC 17021-1 clause 9.1.3.2 note 3: variation from the 3-year certification cycle
- ISO 20000-1 (is it for ITSMS or wider for SMS)?

5.2 UKAS PAC

- a) TN presented a paper on the issues of non accredited certificates, work to be picked up by the UKAS Management Systems Technical Advisory Committee.
- b) CQI already publish a statement they are willing to share to promote the advantages of accredited certification and the pitfalls on non accredited certificates that they are happy to share.
- c) BSI stated that they are also work on methods to get the message across.
- d) Since this meeting I have met Neil Cowley from the office of the Small Business Commissioner who is happy to set up a meeting to discuss the issues.
- e) UKAS gave an update on BREXIT (see EA report)
- f) UKAS have agreed to work with the 'Human Fertilisation & Embryology Authority.

5.3 IAF

21 – 30 Oct 2018

- a) ISO 9001 Transitions progress
93% at 22 Nov 2018, up from 68% at 28 February 2018.

b) IAF MD1, MD5 & MD22

MD1 states that for assessment of a multi-site organization a reduction of 50% in audit time may be applied, where MD5 Determination of Audit Time of Quality and Environmental Management Systems, currently states 30%.

MD5 is to be revised in line with MD1. Further consideration will be given to MD22.

c) Man Day Tables

Kevin Belson (UKAS) proposed to form a Task group to revise all Man Day tables and produce a single methodology across all standards.

KB and Leonardo Omodeo Zorini (IIOC TC Chair) will lead the small task force group to develop a feasibility study on rationalising the growing number of man-day (time on site) tables in IAF documents (and level 3/4 standards).

ABCB will support the work of the Task Force.

d) New/Revised Mandatory Documents: MD2 / MD4 / MD8 / MD9 / MD23

It was proposed that issues dates and implementation dates should not be the same and in all cases transition periods would be required.

e) 17065: Product Certification

Two major areas of debate and disagreement:

- Impartiality & Consultancy: the question is can a CB consult on new products for an organisation who they certificate and can they consult on a similar product (they certificate) for a different manufacture. A paper is due to be published on the IAF website on completion of further editorial work.
- Accreditation Marks: A proposal was passed at the GA that all accredited CB's must display their accreditation mark on certificates and reports.
- The General Assembly acting on the recommendation of the Technical Committee resolved that IAF Accreditation Body members shall have legally enforceable arrangements with their accredited CABs for product certification that prevents the CAB from issuing non-accredited product certification in scopes for which they are accredited. The enforceable arrangements shall require full implementation within three years from 31 October 2018
- Additionally, CABs for product certification must transition certification documentation to include the accreditation symbol and/or must make reference to the accreditation

status of the CAB including the identification of the AB, no later than 31 October 2021. Note: If there is an exception to the above, the CAB must justify the exception to the AB, and if accepted by the AB, the certification is still considered accredited.

- f) Fraudulent Behaviours: Task Force
ABCB took part in this task force for the first time. TF focuses the 'ethical behaviours' of CB's and AB's. Discussion on whether MD7 should be updated to reflect the outcomes of the TF.
- g) International Halal Accreditation Forum
New IAF signatory, possible new business for ABCB members.
- h) Technical Committee
Meeting conclusions:
- Accredited certificates for all products
 - 3 year transmission for 20000-1
 - ISO 22000: 2018 – Transition date June 2021
 - Endorsement of ISO/IEC TS17021 10-2018
 - All further transition dates to be the last date of the published month
 - Trevor Nash was formally thanked by both current and past IAF presidents Xiao Jianhua and Randy Dougherty
- i) Database of Management Systems Certificates
WT has replaced Trevor Nash to on the Database Management Committee.

46 AB's, including UKAS, have now signed up to the database and work continues Work continues to understand why the remaining AB's are yet to commit.

One known concern by 5 of the remaining AB's is they believe that the database should be restricted to only those AB's who are signatories to the MLA. However, this goes against the original principals agreed by IAF, as the database is supply chain led so all certificates should be able to be confirmed.

Note: Marcus Long Director of IAF Management Committee gave a presentation on the IAF Database post meeting.

KB also added the following on the IAF meeting from an AB perspective:

- The Working Group Transitions will circulate the new document for 30 days comment imminently
- IAF Resolution 2018-13 – Non-Accredited Product Certification where the CAB is accredited for the same scope

- IAF Resolution 2018-23 – IAF MLA sub-scope extension to ICAO CORSIA: The IAF General Assembly, acting on the recommendation of the Executive Committee, endorsed the extension of the IAF MLA under the Main Scope of Validation and Verification – ISO 14065 to the sub-scope ICAO CORSIA Version 1 with ICAO CORSIA Environmental Technical Manual – Volume IV, ISO 14064-3:2006, ISO 14066:2011 as Level 4 Sub-scope and ICAO CORSIA SARPs – Annex 16 Volume IV as Level 5 Sub-Scope in accordance to IAF PL3 Policies and Procedures for the Expansion of the Scope of the IAF MLA.

6.0 UKAS Update

SR presented an update on the need for the CBs and UKAS to continue to work together to improve the overall completion of witnessed assessment programmes to support CB accreditations.

The Requirements are defined across several documents, including;

- ISO/IEC17011: 2017
- IAF MD 16
- IAF MD 17
- IAF MD 22
- Sector Schemes
- Product Schemes
- UKAS Agreement

Underpinned by the EA/IAF Peer Evaluation Process, UKAS have obligations including:

Planning and completion of the Witnessed Assessment programmes to support the CBs' accreditations. UKAS can be flexible in most accreditation scopes (IAF codes etc.) in the 4 year cycle but there is a need to balance the load and must:

- cover the CB's Scopes
- complete the programme
- withdraw accreditation scope if not assessed effectively

Similarly, CBs have obligations including the need to:

- provide witnessed assessment information in a timely manner
- complete the witnessed assessment programme

Some ongoing issues highlighted by the CLO teams in planning for this update include;

- Not providing opportunities (there still seems to be a reluctance with some CBs). Some will even argue that we don't need to do all the witnesses on the programme or be obstructive
- Short notice so neither UKAS nor Local Accreditation Bodies can resource
- Confirmed date not being provided (just a date range e.g. March-May)

- Certification Scopes not be consistent with the requested IAF code
- Actual Audit Duration or Number of Auditors is different to that indicated when the witnessed assessment was planned/booked which leaves us with difficulties in resourcing it as we need to witness the whole audit and appropriate areas.

Need for Improvement

UKAS resources are booked 3 to 6 months in advance so we need confirmed dates for Witnessed Assessments to be consistent with these time scales. To start with earlier Information of confirmed CB Audit dates would aid planning

Opportunities

There are Opportunities provided by IAF MD17 with the possibilities of reduced Sampling Plan once 2 accreditation cycles with good performance have been achieved. Also, for the future Risk Based Assessments as detailed in ISO/IEC17011: 2017 may provide other opportunities.

SR thanked the meeting for their understanding, participation and cooperation.

Updated following the ABCB meeting

UKAS has commenced work on increasing the focus on the Witnessed Assessment programmes, with a twin approach.

The CLO teams overseen by Paul Greenwood and the Operations management are focussing on the backlog and immediate witnessed assessment.

A project overseen by Jeff Ruddle in focussing on getting improved advanced booking to reduce future backlogs. Work also continues on improving the IAF MD15 related annual questionnaire so that UKAS receives improved planning data.

6.2 Members' issues

There were no UKAS related issues raised by Members.

7.0 Any other business

There was no other business.

8.0 Date and venue of next meeting

17th April 2019 at 10.30, BSI Milton Keynes.