

**Minutes of the Management Systems Sector Committee
Wednesday 17 April 2019**

at

BSI Group, Kitemark Court, Davy Avenue, Knowlhill, Milton Keynes, MK5 8PP

Members present:

Steve Russell (Chair)	NQA
Nonn Reynolds	BSI
Martin Coles	International Associates
David Hill	Avalon Certification
Karen Green	BSI
James Gibb	Advanced Certification
Keith Goddard	Advanced Certification
Stephen Carter	QA International Certification Limited
Mark Nutburn	British Assessment Bureau
Wayne Thomas	CSA-SIRA

In attendance:

Wayne Terry	ABC B Chief Executive
Steve Randall	UKAS
Kevin Belson	UKAS
Steve Stublely	Alcumus (guest)
Laura Degiovanni	CERTiiF (guest presenter)

1.0 Apologies for absence

Andrew Ten-Broeke (National Measurement Office), Tony Duff & Jim Spiers (System Certification), Traice Hunter (BASEC), Rachel Davidson (BESCA), Gary Charlesworth (Avalon Certification) and Vanessa Desroches (AFNOR).

2.0 Minutes of the meeting held on 15th January 2019

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

KG reported on the CBMC meeting held in London Feb 2019:

Oversight 2018 annual summary:

- Witness assessment program not completed in full – new changes to correct
- 182 NC's raised at 92 assessments Europe
 - a) Audit planning/reporting
 - b) CB personnel competence 33 onsite and authorisation of competence
- Audit planning and reporting biggest issue
- Modifications – valid (must do i.e. suspensions and withdrawals) invalid (mistakes)
- 1345 modifications in 2018 and most in UK, data available
- 2019 recommendations for focus – CB competency, reporting, planning, QMS and MOD process

AAB

25 applications independently reviewed

- 24 RO correct decision
- 1 disagreed, rejected application based on OASIS log rather than template
- 2 appeals, one upheld and one rejected
- No complaints received related to auditors

TPAB

- AATT (March, July and Oct) TPT & TEC (Feb & April)
- MidAero pursuing approval for AATT – training the trainer

IAQG update

- Marie Laurence Petit IAQG OPMT new chair
- Pete Cracknel EAQG OPMT new chair
- Transition
 - OASIS growing 19,200 sites, 1st feb 24,000 sites in OASIS
 - 23 sites not transitioned all in Europe 2 in UK LRQA rest in Germany non BSI or AirCerts
- New AATT 404 participants 9100 (52% retake 63), 56 participants 9110 (61% retake 73%), 80 participants 9120 (54% retake 64%)
- OASIS
 - Update fee structure rolled out 2nd Jan 2019, mass transfer no fee for CB acquisitions
 - Adding site 225 all sites added per transition
 - Transfer 375
 - Transfer in year 3, OASIS updated to give no option to give to transfer on the back of combined special and CAV &/or recertification.
- 9104-003 update
 - Coordination draft and comments 634 total 63 duplicates – 571 to disposition
 - Potential re-run of CB coordination draft
 - Ballot Atlanta Georgia May 2019 target

UKAS Update all CB's

- 2018 Part 1 HO & 2 HO audit full completion and WA 25 of 26 completed
- 2019 Part 1 HO 5 of 7 planned booked, Part 2 File Reviews 1 of 7 booked and 2 of 24 WA complete
- IAR 15 days for response and 75 days for final response
- IAF MD4:2018 discussion to write resolution 9104-001 clause 6.10 biggest change no requirement for AB approval for MD4 to adopt

4.2 DIQF

KG reported on the meeting held 14th March 2019, MOD Abbey Wood, Bristol

Confidence in 3rd Party Accredited Certification presentation

- Tim Bennett from the MOD Quality and Configuration Management (Policy) team presented on this subject. It highlighted the issues that are faced with regards to Supplier performance issues and confidence in accredited certification.
- A pilot study has taken place with the DQA Field Force Northern Ireland office, LRQA and Thales. The collaboration has been developed over a number of years where the relationship developed from an informal starting point into a formally agreed Collaborative Working Agreement, which has enhanced arrangements for MOD Input to 3PC Planning.

Progress on Workstreams

Workstream 1: Counterfeit Avoidance Working Group (CAWG)

- The CAWG took place on 14th February 2019 and the counterfeit avoidance e-learning course is live on the Defence Learning Environment.
- The annual Counterfeit Awareness event is being held on Thursday 4th July 2019 at the BAWA Club, Bristol.

Workstream 2: Improved Understanding & Implementation of AQAP 2110 Rev D Supply Chain Requirements

- Successful discussion around capturing AQAP2110 requirements took place at a recent NATO Working Group. The workstream is on track to deliver its outputs by March 2020.

Workstream 3: Attracting and Retaining Competent People in Quality across the Defence Sector

- The Defence Sector Quality Development Framework (DSQDF), based on the 2016 CQI Competency score tool has been reviewed and updated with DSIG Committee comments.
- The revised CQI Competence Assessment Score Tool has been received by the DSIG and rather than communicate mixed messages, roll-out is paused to evaluate the degree of change and impact.
- A key deliverable of the DSIG that supports this workstream is the definition of the Quality Career Path (supplemented by the defence industry specifics). The DSIG met with the CQI project lead on this activity; although the project is in initial research phase, the DSIG put forward industry / MoD considerations and

have been offered the opportunity to comment before the next phase.

Workstream 4: Defence Equipment Fault Reporting and Analysis

- Discussions have taken place to add various questions into the Defence Authority for QA Annual Assurance Report. Feedback from this will enable understanding of what information DE&S could use from Defence Authorities.

4.3 QS/1 (ISO TC 176) Standing Committee 2 - WT

Following the successful completion of its revisions of ISO 9004, ISO 10005, ISO 10006 and ISO 10007, ISO/TC 176/SC 2 has no formal standards development projects at this time.

4.4 SES/1/1 (ISO TC 207/SC1 & SC2) - WT

ISO 14007: has been approved to progress to the Final Draft International Standard (FDIS). The expert working group will meet in Lebanon in March 2019 to review the comments submitted in December. The draft will then be balloted by National Member Bodies prior to publication.

ISO 14006: The draft ISO standard on EMS - Guidelines for incorporating eco-design has been approved to Final Draft (FDIS). The comments received have been addressed by the expert working group in Sweden during November 2018. Publication of the standard is expected in April/May 2019.

4.5 CAS/1 (ISO/CASCO) - WT

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

Committee Draft approved for registration as DIS (no change since our last meeting).

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

DIS approved for registration as FDIS.

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

Committee Draft ballot initiated.

4.5.4 EN ISO 19011:2011: CEN/CLC/JTC 1 - Criteria for conformity assessment bodies agrees to have the currently listed standard EN ISO 19011:2011. To be superseded by EN ISO 19011:2018 Guidelines for auditing management.

4.5.5 **CEN/CLC/JTC 1** position on the ISO/CASCO interpretation of a clarification request on ISO/IEC 17065:2012, 4.2.6

- ISO/IEC 17000 clearly defines certification as a 3rd party activity, therefore, a certification body or any part of the same legal entities under its organizational control must not design, manufacture and/or distribute products within the scope of its certification systems;
- it damages confidence in the results of conformity assessment activities in the market.

If this draft position is approved, the CEN/CLC/JTC 1 Chair will present this as CEN/CLC/JTC 1's position at the ISO/CASCO plenary meeting of 24/9/19.

4.5.6 **BS 95009** (formally BS9009): External Providers to the Public Sector: Specification to assess the trustworthiness of organisations bidding for Government contracts.

- Draft standard put out to members in February 2019.
- Procurement in the Public Sector Meeting held on 4th April - awaiting feedback.
- Full day conference 4th July – WT invited to be one of two facilitators.
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JG suggested that BS95009 should also feed into other industry related initiatives and in particular Build UK's ongoing project around PQQ.

ACTION: WT to discuss with BSI.

4.5.7 ABCB had received request for CB input into the development of PAS 4444 (Hydrogen-fired Gas Appliances). WT asked members if they had anyone with the appropriate skill set who would be able to attend.

NR nominated Graham McKay from BSI.

5.0 Meetings

5.1 UKAS MSCTAC

Not met since last ABCB Meeting.

5.2 UKAS PAF

WT reported on the PAF and PAC meetings held on 12 March 2019.

A Presentation was given by Sarah Smith, Office of Product & Standards, BEIS where the following points were highlighted in relation to BREXIT:

- Continued support for conformity assessment
- UKAS to continue as the sole UK Accreditation Body
- In the event of a no deal, BEIS will have a functioning infrastructure in place
- UK Mark in place in case of no deal

- UK functioning system for NANDO for Notified Bodies
- Investing in digital systems to operate a Product Safety database
- Committed to protecting consumers
- Reassurance that everything will have a UK solution and long term strategy

UKAS - Matt Gantley (CEO) presented the UKAS strategic priorities:

- a. Quality & Technical Excellence
- b. Agility Service Development
- c. Innovation & Technology
- d. Profile & Influence
- e. Financial Stability & Productivity
- f. Sustainable Growth
- g. Talent Development
- h. Benchmarking

All of which underpinned by Pride, Values and Behavioural Commitments, Strong Leadership, Motivated Teams and a Growth Mindset.

UKAS PAC

The discussions focussed on the PAF meeting held in the morning and there was a consensus that there was not enough time to discuss the business of the day, especially the UKAS strategy.

The chair asked UKAS to review its meeting strategy in time for the next combined PAF & PAC meetings.

Following the previous meeting and Trevor Nash's presentation, WT had begun work with UKAS's Jon Murphy on a generating PR on the danger 'non accredited certificates. This initiative was supported by;

- Trading standards
- FCB
- Confederation of Small Business
- QCI

5.3 EA

The EA General Assembly had not met since last ABCB meeting – next meeting in Rome during May.

However, WT had recently received clarification on a number of questions that had been put to EA Certification Committee but given the limited time of the meeting it was suggested that these were circulated to members post meeting.

ACTION: WT to circulate EA clarifications to members.

KB informed the meeting that EA were in the process of electing chairs for the various committees and advised that he would once again stand as chair for the Technical Committee, which would assist in keeping a UK focus.

5.4 IAF

WT reported on the IAF interim meeting held in Mexico City on 4 – 7 April 2019.

5.4.1 ISO 9001 Transitions progress

96% at Jan 2018, up from 93% at 28 Nov 2018.

5.4.2 ISO/IEC JTC 1/SC27:

Draft amendment of ISO/IEC 27006:2015 Information technology -- Security techniques -- Requirements for bodies providing audit and certification of information security management systems.

Six clauses to be amended in relation to;

- auditor experience
- sector-specific standards
- stage 1
- audit time

Expected to be issued in 2nd quarter of 2019.

5.4.3 Information Technology Management Systems (ITSM) - ISO/IEC 20000

- ISO/IEC 20000-6 was issued on 6 June 2017 and it will supersede IAF MD 18. IAF MD 18 will be withdrawn in June 2019
- IAF Resolution 2018-14 – the transitional Arrangements for ISO/IEC 20000-1:2018 - Information technology – Service management -- Part 1: Service management system requirements, will be 3 years from 30th September 2018.
- CABs seeking accreditation to the new standard shall complete the transition with ABs for ISO/IEC 20000-1:2018 within 18 months from 30th September 2018
- CABs shall cease conducting initial and recertification audits to the ISO/IEC 20000-1:2011 18 months from 30th September 2018

5.4.4 ISO/IEC 27552 Privacy Information Management

ISO/IEC 27552 is a privacy extension to ISO/IEC 27001 Information Security Management and ISO/IEC 27002 Security Controls now at Committee Draft

Note: ISO/IEC 27552 aims to provide guidance on the protection of privacy, including how organizations should manage personal information, and assists in demonstrating compliance with privacy regulations around the world.

This may be of interest to certified entities who need to demonstrate compliance to GDPR.

- 5.4.5 **Revised ISO 14064-1: Greenhouse gases -- Part 1:** Specification with guidance at the organization level for quantification and reporting of greenhouse gas emissions and removals.

Publication Expected in May 2019.

- 5.4.6 **IAF MD4:** IAF Mandatory Document for the Use of Information and Communication Technology (ICT) for Auditing/Assessment Purposes.

Issue 2 (July 2018) applicable from July 2019

- 5.4.7 **MD11:** The Application of ISO/IEC 17021-1 For Audits of Integrated Management Systems.

Issued Jan 2019 for application in Jan 2020. However, concerns over unclear language and interpretation. Recommendation from WG to TC to delay implementation unless the issues can be resolved in time but this could take up to a year.

- 5.4.8 **MD 23:** Control of Entities Operating on Behalf of Accredited Management Systems Certification Bodies.

Issued May 2018, application from May 2019.

SR was concerned about the threat to the personal safety of audit staff, particularly in troubled regions, where dependant upon the situation CB's may not be able to travel.

KB advised that both they and IAF were conscious of these situations and indeed faced the same concerns. KB suggested that where this is the case, a short break may be taken under advisement. So if this was to occur the CB should have a conversation with UKAS to discuss. Any such situations would be treated on a case by case basis.

- 5.5 **17065:** Product Certification

No specific issues but relevant items were covered in the IAF Technical Committee report (5.7).

- 5.6 **Fraudulent Behaviours:**

Task Force - Confirmation that MD7 will be updated to reflect the outcomes of the TF. MD7 will also include the outcomes of separate TF on Fraudulent Certificates.

- 5.7 **Technical Committee**

Questions for Clarification at IAF Mexico. TC Consensus as follows;

- 5.7.1 **Is a pre-audit acceptable under ISO/IEC 17021-1**

A. *As the TC Decision 10/03/08, pre-audits prior to transition/migration are acceptable.*

5.7.2 Clarification of clause 7.7.1 of IAF MD1 2018 against ISO 17021-1:2015

- A. *The organization is responsible for investigating ALL NCRs (minor and major) per 7.7.1.*

The CB is to verify corrective actions in accordance with ISO/IEC 17021-1 (e.g. sections 9.4.10 Effectiveness of corrections and corrective actions, 9.5.2.b and 9.5.3.2 Actions prior to making a decision, etc.).

5.7.3 Clarification of the requirements of IAF MD 1:2018 (6.1.3.6) for sites that can be sampled; the sample of local branches should include at least one local branch controlled by each regional office.

- A. *IAF MD 1 was written as a general document and cannot be written for all situations. Furthermore, when there are exceptions, they cannot become the general rule and the discussions/agreements are between the CAB and AB, not IAF.*

5.7.4 Clarification of IAF MD1: definition of “Permanent Site” and “Multi-site Organization”

“Permanent Site: Site (physical or virtual) where a client organization performs work or from which a service is provided on a continuing basis.”

“Multi-site Organization: An organization covered by a single management system comprising an identified central function (not necessarily the headquarters of the organization) at which certain processes/activities are planned and controlled, and a number of sites (permanent, temporary or virtual) at which such processes/activities are fully or partially carried out.”

The definitions are not clear, how should a site be taken into account based on the distance and travel time between sites and the related certification activity, how do you distinguish a single site and multiple site and the definition of “Permanent Site” and “Multi-site Organization”?

- A. *The TC confirms that IAF MD 1 was written as a general document and cannot be written for all situations. Furthermore, individual situations cannot become the general rule and the discussions/agreements should be between the CAB and AB, not IAF.*

However, the CB must demonstrate they are performing effective audits and have an effective audit program per ISO/IEC 17021-1. And that the program and associated sampling is based on risk and there is appropriate justification/records to support decisions. The certification documents must be clear as it relates to the scope of certification and all of the sites.

There is no black and white rule. The definition of a site is clear and distance is not a consideration nor relevant to determining single

sites and multi-sites. Difficult to draw a conclusion about this because it must be considered by the CB case by case, based on risk.

- 5.7.5 **Clarification of IAF MD 5:2015, no. 5 Surveillance:** in relation the total amount of time spent annually on surveillance is about 1/3 of the audit time spent on the initial certification audit.

Note: It is unlikely that a surveillance audit will take less than one (1) audit day.

- A. *The TC confirmed that the note in IAF MD 5 section 5, is referring to audit duration in relation to audit day. The new version of MD5 will need to consider this.*

Proposed Edited Note: It is unlikely that a surveillance audit duration will be less than one (1) audit day.

- 5.7.6 **Clarification on IAF MD 22:2018 B.1.9 Effective Number of Personnel:**

- a) Confirmation that reduction in the number of personnel is according to the rules.
b) Confirmation that CB is responsible for determining audit time and should ensure that any variation in audit time does not compromise the effectiveness of audits

- A. *The TC confirms that IAF MD 22 is to be followed by CABs, including the considerations to determine effective number of personnel.*

CABs are reminded that IAF MD 5 & 22 are to be applied in request both questions.

Note: IAF MD 5 and MD 22 revisions are expected to be published soon.

6.0 UKAS

6.1 UKAS update

KB informed the meeting that in his role as co-convener of the IAF Task Force reviewing Audit Days (formally Man Days), he wished to discuss related issues. In particular;

- i. Do you agree that there are too many time on site rules?
- ii. What kind of problems do these multiple rules create?
- iii. What are your first thoughts on how this could be reduced?

Unfortunately, due to the time constraints of the meeting it was not possible to have the interactive session planned. Therefore, it was agreed to circulate the questions to all ABCB members.

ACTION: WT to circulate KB's presentation and request members to respond by the third week in May.

6.2 Member's Issues

- 6.1.1 JG raised concerns over the recent 'Communication to CB's with Witness Assessments', in particular the un-helpful terminology/language used. This was discussed and the other members present agreed. It was suggested by JG that WT could comment on future communications to help alleviate any reoccurrence.

Although UKAS sympathised with the discussion SR reiterated that the WA's must take place within the desired timescale and emphasised that the CB's and UKAS need to work together to make it work.

ACTION: WT to discuss with UKAS.

- 6.1.2 WT (Thomas) asked UKAS if there was any accepted process in place for the transfer of Product certificates.

KB advised that there was no process in place and that UKAS need to look at putting guidance in place to assist CB's.

ACTION: KB to investigate and get back to WT directly.

7.0 Any other business

- 7.1 WT Reminded the meeting that 2019/20 subscriptions would be issued in the coming days.
- 7.3 UKAS Association Forum. WT advised the meeting that following his letter to UKAS in January about promoting a 'single voice' concept, a meeting is being arranged between FCB & ABCB to develop a UKAS Forum to enable UKAS to update both organisations at the same time.
- 7.4 WT reminded the meeting that 9th June was World Accreditation Day and that he had previously distributed the IAF PR materials so individual CB's could promote the event with their customers.

8.0 Date and venue of next meeting

15th August 2019 at 10.30, UKAS, Staines upon Thames.

9.0 External Presentation - Blockchain Certificates

A presentation was given on Blockchain Certificates by Laura Degiovanni of CERTiiF and circulated to members post meeting.