



Association of British Certification Bodies

**Minutes of the Management Systems Sector Committee Meeting
held on Monday 4 June 2018 at BSI, Kitemark Court, Davy Avenue,
Knowlhill, Milton Keynes, MK5 8PP**

Members Present:

Mr Steve Russell	NQA, Chairman
Mr Matt Gantley	NQA
Ms Karen Green	BSI
Ms Nonn Reynolds	BSI
Mr Jeremy Hodge	BASEC
Mr John Elen	Advanced Certification
Mr Colin Head	QSRMC
Mr Wayne Thomas	CSA

In Attendance:

Mr Trevor Nash	Chief Executive
Mr Kevin Belson	UKAS
Mr Steve Randall	UKAS
Mr Keith Goddard	

1.0 Apologies for absence

Apologies were received from Jim Speirs (Systems Certification), Martin Coles (International Associates), Andrew Ten-Broeke (NMO), Tracy Barber (BAB), Lee Brankley (UKCARES), Tracie Hunter (BASEC) and Gary Charlesworth (Avalon).

2.0 Minutes of the meeting held on 28 March 2017

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.

4.0 Liaison reports

4.1 SBAC/CBMC

IAQG has agreed to follow the IAF resolution regarding organisations that have started, but not completed, the AS 9100, AS 9110 and AS 9120 transition by 15 September 2017. To qualify, a site visit must have started before 15 September 2017.

4.2 DIQF

There has not been a DIQF meeting since the last MS Sector Committee meeting and the next is towards the end of June.

Kevin Belson is replacing Phil Shaw as the UKAS DIQF representative.

4.3 QS/1

Paul Simpson is the new Chair of ISO TC 176 SC2, replacing Nigel Croft.

The revision of ISO 19011 Guidelines for auditing management system is about to be published.

4.4 SES/1/1

The revision of ISO 50001 is at the FDIS stage.

The revision of ISO 14065 is at the committee draft stage.

4.5 CAS/1

ISO/IEC 17029 : General requirements for bodies performing validation and verification activities is at Working Draft 4. There have been some concerns that this is being produced at the same time that ISO 14065 is being revised and a Joint Working Group involving CASCO and ISO TC 207/SC7/WG6 has been established to ensure consistency

ISO/IEC 17021-10 : Requirements for bodies providing audit and certification of management systems - Part 10: Competence requirements for auditing and certification of OHAS management systems was published at the end of March.

Work is progressing on the development of 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 and ISO/IEC TS 17021-11: Conformity assessment - Requirements for bodies providing audit and certification of management systems - Part 11: Competence requirements for auditing and certification of Facility Management Systems.

Work has started on the revision of ISO/IEC 17000: Conformity assessment - Vocabulary and general principles.

Work has started on the revision of ISO/TS 22003:2013, Requirements for bodies providing audit and certification of food safety management systems. At the first meeting it was recommended to convert the TS into an International standard.

New standards under development are ISO/IEC TR 17032: Guidelines and examples of a certification scheme for processes and ISO TS 17033: Ethical claims - Labels and supporting information – Requirements.

5.0 Meetings

5.1 IAF

As of 28 Feb 2018, 47.24% of 1,134,524 ISO 9001 certificates reported on had been transitioned. The lowest transition rate reported by a certification body was 16.28% and the highest 94.61%.

51.55% of 379,357 ISO 14001 certificates reported on had been transitioned. The lowest transition rate reported by a certification body was 6.52% and the highest 91.48%.

It should be noted that this information should not be made publicly available.

There will be two further data collections on 30 June and 30 Sep 2018.

There was a discussion paper concerning the transition process and what will happen on 15 September 2018. It was confirmed that on 15 September 2018 all ISO 9001:2008 and ISO 14001:2004 certificates will expire and will no longer be valid. When transition activities are successfully completed prior to 15 September 2018, the expiry date of the new certification can be based on the expiry date of the existing certification. The issue date on a new certificate shall be on or after the certification decision.

If the certification body has not completed the transition audit or the certification body is unable to verify the implementation of corrections and corrective actions for any major nonconformity prior to 15 September 2018, then certification to the new versions shall not be recommended. The client shall be informed and the consequences shall be explained i.e their certification has expired and is no longer valid.

Following 15 September 2018, the certification body can issue certification to the new versions within 6 months (15 March 2019) provided that the audit process has been initiated by 15 September

2018 and the outstanding transition activities are completed (by 15 March 2019). The effective date on the certificate shall be on or after the certification decision and the expiry date shall be based on prior certification cycle.

If the transition audit process has not been initiated by 15 September 2018 and/or not completed by 15 March 2019 an initial audit shall be conducted. The effective date on the certificate shall be the date of the certification decision.

The following Task Forces met:

- Accreditation Body Assessor Competence – now developing specific competence requirements for assessors of personnel certification bodies;
- Conformity Assessment Schemes – the draft document has been circulated for 60 day Technical Committee comment;
- Accreditation Body Assessment Duration – drafting of an Informative Document has been completed and it is ready for circulation for Technical Committee comment;
- Transitions – work is continuing on the development of a Mandatory Document for transitions;
- Revision of IAF MD 4 (Computer Assisted Auditing Techniques) – the revision was circulated for comment and is ready for ballot;
- Revision of IAF MD 11 (Integrated Audits) – the draft revision had been circulated for comment, with a closing date of 8 April. Comments received before the meeting were reviewed and remaining comments would be reviewed via a WebEx meeting. The document will then be ready for ballot;
- Counterfeit Certificates – a draft document is ready for circulation to the Technical Committee for comment.

Following a number of high profile cases, a new Task Force was established to address issues concerning ISO 9001 certified organisations that are guilty of fraudulent or other illegal activities. This is in response to an initiative of ISO TC 176 regarding ISO 9001 brand integrity.

Discussion papers included:

- It was confirmed that, in relation to IAF Resolution 2015-14 (non-accredited certificates), accreditation scope is the standard (used for certification, e.g. ISO 9001, ISO 14001) together with the scopes (e.g. IAF 03). The scope is not ISO/IEC 17021-1;

- It was confirmed that accredited certification bodies for OHSAS 18001 can issue non-accredited certificates to ISO 45001 up to the time that they complete their accreditation for ISO 45001. They must then upgrade those certificates to accredited ISO 45001 status within one year of the accreditation decision;
- There was consensus that the number of witnessed assessments (as required by IAF MD 17) should be adjusted according to the accreditation cycle on a pro rata basis. MD 17 is based on an accreditation cycle of five years and where the accreditation cycle is less, the numbers of witnesses can be reduced. (MD 17 is being revised and this issue will be addressed at that time);
- For sites of multi-site organisations that perform support activities it is necessary to state on the certification document, the site location and that support activities are performed at that location, but not necessary to list the support activities that are performed;
- Where a management systems consultancy company, that has a relationship with a certification body, provides MS consultancy, it is expected that the certification body should complete a detailed risk analysis to determine if this is an unacceptable risk or not. If not, the certification body shall develop a plan to mitigate the risk (real or perceived). The certification body should demonstrate to the accreditation body how impartiality is maintained. One of the mitigation strategies is applying the minimum two-year rule as it relates to the customers of the sister consultancy company. It is recommended that a certification body should not certify a company where the sister consulting company has provided management systems consultancy for a minimum of a 2-year period. Being in a “family” of companies creates a relationship as defined by ISO/IEC 17021-1.

A wholly owned subsidiary Limited Liability Company (LLC) of IAF has been established to oversee the continuing development of the database and its eventual operation. Existing members of the IAF Database Management Committee have been appointed as Directors of the LLC. A contract was signed with the provider, Quality Trade, from Australia, on 1 May 2018. Work is currently focussed on the design of the database and the first stage of operation of the database will be the transfer of data from three existing accreditation body databases (Australia/New Zealand, China, Japan and Italy) into the global database.

5.2 EA Certification Committee

The workshop covered two specific aspects of ISO/IEC 17065 :

Clause 6.2 –when using other conformity assessment standards such as ISO/IEC 17021 and ISO/IEC 17025, what are the applicable requirements ? The workshop considered such

things as where management systems are involved do IAF Mandatory Documents apply ?

How can a certification body demonstrate organisation control across its whole business and how can it controls outsourced activities?

There was discussion regarding GDPR certification. The EA view is that a single European wide scheme is preferred, but the Commission is saying that it is for individual states to decide how to implement GDPR. A new EACC Working Group covering IT and information security is to be established.

There was a presentation on the Construction Products Regulation from Yannick le Tallec, President of the Group of Notified Bodies for the CPR. It covered the role of accreditation bodies, the standards used and levels of participation. A number of issues for further consideration were raised.

Questions considered by the review panel included :

- Competence of decision makers
- Scoping and audit time for ISO 27001
- Accreditation to draft standards
- Design and development in ISO 9001
- Categorisation of non-conformities in ISO 9001

Other key discussion points included ISO 9001 ISO 14001 transition progress, the ISO 45001 migration, accreditation body and certification body representation on standards committees and inadequate responses to comments on draft IAF documents.

5.3 EA General Assembly

The main issue from the EA General Assembly was two resolutions concerning continued membership of EA for UKAS.

EA Resolution 2018 (41) 04 The General Assembly, acting upon recommendation from the Executive Committee, approves that in the light of draft Article 122 'Scope of transition' of the Withdrawal Agreement between the EU and UK, considering that Union law shall be applicable to and in the United Kingdom during the transition period, for the purposes of Article 5 of EA AoA, UKAS remains a Full member of EA until 31 December 2020. Note: This resolution will come into effect only, if the Withdrawal Agreement between the EU and UK will be ratified.

EA Resolution 2018 (41) 05 The General Assembly, acting upon recommendation from the Executive Committee, approves in compliance with the New Work Item endorsed by the General Assembly (see EA Resolution 2017 (40) 01) to add in Article 6 of the Articles of Association a new clause with the following content: In case that some of the criteria for countries established in 5.1 of any EA member is no longer fulfilled by reasons not attributable to the EA member, the General Assembly can decide, upon the recommendation of the Executive Committee, to maintain the current membership category of the member for a determined period of time no longer than 2 years.

5.4 UKAS MSCTAC

The main items on the MSCTAC agenda are progress of the ISO 9001 and ISO 14001 transitions, the new IAF Task Force on fraudulent activities by certified organisations and an update on the quality in the supply chain project.

5.5 UKAS PAC

There were no papers for the UKAS PAC meeting available.

6.0 UKAS

6.1 UKAS update

A first draft of a document on quality in the supply chain has been drafted by UKAS. This will be discussed with the Office for Nuclear Regulation before wider circulation.

There has been little progress following the HSE Blue Tape meeting and UKAS will be contacting HSE to follow up in the next few weeks.

UKAS has transitioned all of its ISO 14001 accredited certification bodies, although there have been a small number of resignations. There are two ISO 9001 accredited certification bodies in the final stages of their transition and all others have completed the transition.

There was a view that the transition process had been expensive and bureaucratic. However, the transition process took note of stakeholders views that site assessments and witnessed assessments were necessary as there had been some fundamental changes to the standards. There was a request that UKAS needs to be able to provide more assessors with competence in multiple standards as some Members had separate assessors for each standard, which added to the cost, especially when the witnessed assessment was an integrated audit. Some Members commented that little had happened during the early part of the transition period and that now there is a rush to complete. One issue had been that some certification bodies had not

been conducting audits to the revised standards, which UKAS had not said this could not happen.

There are 22 certification bodies in the first group for the ISO 45001 migration. All of these have been assessed and are going through the provisional decision process. The aim is for final decisions to have been completed by the end of July. UKAS had learned from the ISO 9001 and ISO 14001 transitions and the ISO 45001 migration appeared to be running more smoothly, which Members confirmed.

The UKAS transition process for ISO 50001 is being finalised and should be available before publication of the standard.

Transitions for ISO 22000 and ISO 20000-1 will be commencing later in the year. The question has been raised as to whether the scope of ISO 20000 has been opened up to include all service management or whether it is still restricted to IT service management. Different experts have differing opinions and BSI is seeking clarity and also asking ANAB for guidance.

IAF MD 23 was published on 8 May 2018, with an application date of 8 May 2019. However, UKAS assessors will be looking at the requirements of MD 23 during assessments leading up to the application date.

UKAS clarified that IAF MD 2 applies to certificate transfers between certification bodies accredited by MLA signatories and that in EA it operates at level 3 (ISO/IEC 17021-1).

UKAS is aiming to complete the updating of management systems certification bodies' schedules of accreditation into a single schedule by 15 September. There are some schedules which still refer to NACE 1 and these need to be updated to NACE 2. This could mean a new IAF code in the scope of some certification bodies. It is intended to use NACE descriptors rather than code numbers in the new schedules. UKAS will be contacting certification bodies to resolve any issues arising from the move from NACE 1 to NACE 2.

6.2 Members' issues

Members had no other issues to raise.

7.0 Any other business

There was no other business.

8.0 Date and venue of next meeting

The next meeting will be on Tuesday 2 October at NQA, Dunstable and will be followed by the Annual General Meeting.

