Association of British Certification Bodies

Minutes of the Management Systems Sector Committee Meeting
held on Tuesday 4 February 2014 at The Ascertiva Group, Warwick House, Houghton Regis, Dunstable, Bedfordshire, LU5 5ZX

Members Present:

Mr Steve Russell	Ascertiva Group, Chairman
Ms Janet White	BSI
Mr Keith Goddard	Certification Europe
Mr Wayne Thomas	SIRA
Ms Helen Taft	SIRA
Mr Bernard Anderson	Eagle Certification
Emma West	Intertek
David Winterburn	BASEC

In Attendance:

Mr Trevor Nash	Chief Executive

1.0 Apologies for absence

Apologies had been received from David Fenn (BAB), Elaine and Steve Hanaghan (The Audit People) and Keith Renouf (Certification International). The Chairman welcomed David Winterburn (BASEC) and Emma West (Intertek) who were attending their first ABCB meeting.

2.0 Minutes of the meeting held on 25 September 2013

The minutes were agreed as a true record.

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

3.1 Ex minute 5.1 Handbook for Ministers

The Handbook was circulated with the minutes of the last meeting.

3.2 Ex minute 6.1 UKAS Form AC1

The form has been revised and is available on the UKAS website, but ABCB had not been forwarded a draft copy for comment. Steve Russell commented that there were some problems with the electronic version of the form.

4.0 Liaison reports

4.1 SBAC/CBMC

There was no SBAC/CBMC report. It was noted that in the aerospace scheme, certification bodies that do not have the required number of witnessed assessments will have their accreditation withdrawn and there was some concern whether UKAS has sufficient aerospace resource to conduct the necessary number of witnessed assessments.

4.2 DIQF

There was a meeting in December, but the minutes are not yet available. Dylan Parsons who was the ABCB representative has left BSI and Andrew Launn will attend DIQF meetings until a permanent replacement is found. Janet White agreed to obtain a copy of the minutes of the December meeting.

Action: Janet White

The development of the proposed MoD sector scheme continues to be delayed. There has, however, been some progress on the CQI Body of Knowledge, which will be used as the basis for auditor qualification, but it is not yet finalised.

4.3 JTISC

There was a meeting in December and UKAS was not represented at the meeting.

The next versions of the Core Scheme Requirements and BPL have still not been published and are in the final editing process. The RAP – Requirements for Assessors and Practitioners is also in the process of being updated

The approach of the end of the12 month transition continues to increase interest from clients who are deciding to transition, although the volumes are still low. It was noted that some certification bodies are considering withdrawing from TickIT due to the low volume of clients.

The next meeting is 7 February 2013.

IST 15 Panel 8 comments have been sent on the New Work Item for ISO 20000-6 which is now progressing. This will be the IT service management equivalent of ISO 27006 and will impact certification bodies if it becomes mandated for accreditation. The current draft requires comprehensive work to remove generic requirements of ISO/IEC 17021 and focus on the specific service management system assessment requirements that require definition.

4.4   QS/1

The revision of ISO 9001 has been approved for registration as a DIS. The next stage will be for the DIS to be circulated for ballot, aimed for April. Publication is expected in mid 2015.

A three year transition period has been agreed.

4.5   SES/1/1

The voting/comment period for the ISO 14001 revision committee draft ended on 25 January. The next stage will be for the ISO TC 207 WG 5 to review comments and progress it to the DIS stage which is scheduled to start 1 July with the DIS being circulated for ballot 1 September. The FDIS ballot is scheduled for March/April 2015 with publication in May/June 2015.

4.6   CAS/1

DIS ISO/IEC 17021-1 is about to be circulated for ballot, which will close at the beginning of May. ISO CASCO WG 21 is due to meet in June to consider the comments. Trevor Nash agreed to circulate the DIS to Members once it is available.

Action: Trevor Nash

There has been growing concern at the proliferation of sub parts to ISO/IEC 17021 and a special joint meeting of CAS/1 and the Conformity Assessment Policy Committee took place in January. The default position has been for the UK to abstain in ballots on New Work Item Proposals for these documents but the most recent examples prompted a number of CAS/1 members to propose the UK register a negative vote. The meeting agreed to forward a proposal to CASCO and Trevor Nash agreed to circulate a copy to Members with the minutes.

Action: Trevor Nash

5.0   Meetings

5.1   EFAC   - 8 October 2013

Membership is still the main issue. Two new individual certification bodies (associate members) have joined this year and there are two others that have expressed an interest.

The low subscription income means that there is a limit to what EFAC can afford to fund and it was agreed that members who attend meetings as a representative of EFAC fund themselves.

5.2   UKAS AGM   - 8 October 2013

Prior to the AGM there had been a strategic discussion on UKAS pricing. The UKAS Board considered that it was advantageous for UKAS to accelerate its five year plan and that one possible way of achieving this could be through increasing fees above the normal inflationary increases. UKAS had surveyed fees charged by other accreditation bodies and found that generally its fees were between 10% and 50% lower than others. There was support for acceleration of the five year plan but not through increased fees. Members pointed out that there are differing charging regimes amongst accreditation bodies and it is not always possible to compare like with like. The UKAS executive took an action to look at other options and report back to the Board.

5.3   UKAS PAC   - 7 November 2013

UKAS is looking to trial a staged approach to accreditation, to assist smaller organisations, initially in the diagnostic imaging sector.

It was reported that some foreign certification bodies are considering relocating their head office to the UK so that they can seek UKAS accreditation which is seen to be more of a global brand than their local accreditation.

A draft UKAS policy for dealing with vexatious complaints was reviewed and received the support of the PAC.

Paul Stennett gave a report of the UKAS Board meeting which took place on 5 November. There was a review of the strategic discussion on pricing which took place prior to the AGM. The aim is to make the pricing structure simpler, more advantageous to smaller organisations and to generate funds to accelerate the five year plan. It is proposed to reduce the annual accreditation fee by £150 so that laboratories would no longer have to pay this fee. This would result in a significant reduction in the number of low value invoices raised. It is also proposed to average out travel and subsistence costs so that all UKAS customers are charged a standard travel charge per day of on-site assessment (not for overseas visits), irrespective of location.

Wayne Thomas queried the UKAS policy for flights as he had examples of them flying first class. Steve Russell replied that the policy for intercontinental flights is business class, but that UKAS is not motivated to seek the best deals and there is also a tendency to book fully flexible fares. The solution is for the certification body to book the UKAS assessors' flights.

A review of projected growth and historic growth suggested a minimum of 5% annually up to 2020 but possibly as high as 9 – 10%. By 2020 the majority of UKAS work will be in the healthcare sector.

The current UKAS IT outsourcing contract ended at the end of November and was switched to a new supplier.

5.4   EACC   - 2 October 2013

Stakeholders had expressed concerns about the proliferation of sector schemes and it was concluded that as they are developed as a result of market need, there is little EA can do to regulate the number of schemes.

There was a presentation from ETSI about a draft ETSI standard for Trust Service Provider Conformity Assessment (TS 119 403). Kevin Belson from UKAS is leading on this development for EA.

An Environmental WG proposal to review EA-7/04 to include regulatory compliance for all MS standards was not endorsed.

A second draft document on witnessing of certification body assessment is available. It is not trying to achieve a single procedure but looking to establish greater harmonisation. This is now being used as the basis for an IAF document.

Although ISO is developing an international standard for OHSAS, it was agreed to continue with the work on harmonising accreditation for OHSAS 18001.

5.5   EA HHC   - 24/25 September 2013

EA HHC had conducted a survey of EA accreditation bodies regarding their approach to decisions for maintaining accreditation following a surveillance visit. Some maintain accreditation based on the assessors' recommendation whilst others conduct an independent review of the recommendation to confirm continued accreditation. The HHC agreed to establish a Task Force Group to look at situations where an independent review may not be necessary. UKAS believe that that with some accreditation bodies that claim to perform an independent review, it is not so much a technical review but confirmation of the assessor's recommendation. UKAS does not perform an independent review and is a member of the Task Force Group; UKAS will oppose making an independent review mandatory.

The package of revised documents on accreditation for notification has been circulated within the HHC for comment. The deadline for comments to HHC was 6 January 2014.

A new Task Force Group was established to look at activities that national accreditation bodies have to assess during surveillance. Jeff Ruddle from UKAS is a member of the TFG.

5.6   EA General Assembly   - 20/21 November 2013

The establishment of a permanent secretariat is progressing and two people have been hired. EA is now recruiting an Executive Secretary.

The EU position on non national accreditation bodies providing what they refer to as accreditation is that these activities are defined as certification.

EA will apply to join the IAF MLA for subs-copes under ISO/IEC 17021 for medical devices, information security management systems and food safety management systems.

5.7   IAF TC   - 20/21 October 2013

ISO/IEC TS 17021-3 (QMS competence) was endorsed as a normative document with a transition period of two years from the date of its publication (2 May 2015).

ISO/IEC 27001:2013 (ISMS) was endorsed as a normative document with a transition period of two years from the date of its publication (1 October 2015). All new accredited certificates shall be to the new standard one year after its publication.

The next revision of ISO/TS 22003 (FSMS) was endorsed as a normative document with a transition period of three years from the date of its publication.

The transition period for the next version of ISO 9001 was agreed as three years from the date of its publication. Certification bodies were encouraged to start working with their clients on the transition at the earliest opportunity. There was discussion regarding the possibility of certification bodies starting this process at the DIS or FDIS stage and whether the results of any assessments could be taken into account in the transition. A Task Force was established to develop a document on the transition.

New Task Forces were agreed for the following:

- Duration of accreditation body assessments
- Sector schemes
- Anomalies between accreditation bodies

New Task Forces on control of certification bodies' franchisees and sub-contractors, on remote assessment and on witnessed assessments met for the first time. The last is picking up the work started by the EACC.

The Task Force on making IAF MD 5 more effective considered that processes would form a better base for calculating audit duration than

personnel numbers. However, there is currently not enough data to do this and some research is necessary. It was, therefore, decided to proceed using the existing criteria. The document will be amended to incorporate definitions and some text from ISO/IEC TS 17023. It was suggested that transparency should be improved by requiring certification bodies to provide clients with details of not just price, but also audit duration and how it has been calculated, including the effective number of employees used in the calculation. It was also agreed to include risk factors in the calculation of audit duration for quality management systems audits.

A draft document mandatory document for auditing of multi-site organisations where sampling is not permitted has been agreed for circulation to the IAF Technical Committee for comment.

The draft document on competence of accreditation body assessors was deemed too complex and the Task Force is now taking a more simplified approach.

The draft document of EMS scoping is now ready for circulation to IAF members for ballot.

IAF MD 12 Assessment of Certification Activities for Cross Frontier Accreditation has been published and will be implemented from 4 September 2014.

Discussion papers included:

> Can a certification body provide consultancy in areas for which it is not accredited, for example it is accredited for EMS and provides QMS consultancy? Answer - no, as ISO/IEC 17021 states that a certification body shall not offer or provide management systems consultancy.
>
> Is it possible to provide ISO 9001 certification to an organisation that outsources the main product realisation process? Answer - yes, providing either the scope of certification is clear in stating that the organisation manages the outsourcing of manufacture, or the outsourced processes are audited by the certification body in which case the scope can include manufacture.
>
> If a certification body has its accreditation withdrawn due to non-compliance should other certification bodies that are offering to transfer the certificates obtain agreement from the accreditation body for each individual transferred certificate or can they obtain agreement for their overall transfer process? Answer - the certification body can obtain agreement of their overall process for transfer of certificates providing it covers how they deal with situations where the validity of certification is in doubt.

Can the audit duration for individual sites of a multi site organisation exceed 30% when sites are not sampled? Answer - the relaxation of the 30% reduction applies specifically where sites are sampled and as MD 5 says nothing about sites not sampled, the maximum permissible 30% reduction applies.

5.8 UKAS MSCTAC - 10 December 2013

UKAS presented a paper highlighting development activities. TAC members were asked to consider whether the list is valid, whether there are more areas that could be added and what areas should be prioritised.

There was discussion regarding transitions to new versions of certification standards (such as ISO 9001, ISO 14001 etc.) and how the needs of the certified organisation are taken into account.

The Committee agreed that the proposal to conduct assessments to the DIS and/or FDIS of the revised ISO 9001 may be acceptable, especially the FDIS as only editorial changes should be possible.

It was noted that revisions to ISO 9001 and ISO 14001 are likely to be issued around the same period and that it would beneficial to have consistent transition arrangements to allow integrated transition audits.

6.0 UKAS

6.1 UKAS update

The UKAS Quality manager, Brian Hough retired at the end of October and that his replacement, Tracy Pia started in December.

UKAS is planning to review its customer survey questionnaire and stakeholders will be consulted.

Twenty three Assessment Managers will have gone through the new induction training programme since it was set up at the turn of the year.

New Technical Bulletins on the process for extensions to scope and on witnessed assessments have been issued and are available on the UKAS website.

UKAS is planning to introduce a pre-visit questionnaire, mainly driven by IAF MD 12, to gather information which will allow for improved visit planning.

Following their confirmation as an EA MLA signatory UKAS was required to provide a progress report on reduction of overdue visits in August and this showed improvement in the situation. EA still has to look at

UKAS accreditation of medical laboratories to complete the peer evaluation, which is programmed for March 2014, at which time there will be a further review of overdue visits. The extension of the EA MLA for greenhouse gas verification has been delayed as only a small number of accreditation bodies have been evaluated.

There are currently four Assessment Manager vacancies in the Certification Section. This has increased by one due to the resignation of an AM who is leaving in January 2014. The Project Manager that has been working in the Section has now moved onto the customer portal project.

6.2   Members' issues

Bernard Anderson again raised continuing concerns regarding the PAS 43 scheme. At a meeting in July 2013 there was a detailed report of one operator clearly not complying with the scheme rules. This case is now be looked at by the Scottish Parliament and the police and UKAS could be implicated. Bernard had made UKAS aware of the situation but there had been no response.

Wayne Thomas raised the question of UKAS assessor competence in sector schemes as in his experience UKAS assessments of sector schemes were not as stringent as for generic management systems certification.

7.0   ISO proposal for a global directory of MS certified organisations

The ISO Council has passed a resolution to pilot an international directory using a selected management systems standard. This was to be ISO 50001 (energy management systems) but will now be ISO 22000 (food safety management systems) as there are more certificates. There is an ad hoc stakeholder group looking at the risks and addressing issues raised by the ISO Council and Trevor Nash is representing EFAC on this group.

Concerns were raised about the completeness of the directory as, initially at least, the directory will be restricted to English language certificates and that submission of data will be voluntary (ISO not being in a position to enforce certification bodies to submit data). ISO is expecting that once the directory is in place, certified organisations will put pressure on their certification bodies to submit their details and hence increase participation from certification bodies. A number of the large international certification bodies have indicated their support for a global directory. It is agreed that the data available from the directory should not allow competitors to access a full list of a certification body's clients.

The other main issue that remains is that of funding, as it will be expected that the contributing certification bodies cover the administrative costs of establishing and maintaining the directory. However, there are no proposed funding models at present.

The goal is to have a detailed specification for the pilot ready for the next ISO Council meeting in March and for it to be implemented between then and the September ISO Council meeting.

8.0   Any other business

Trevor Nash reported on a recent Small Claims Court hearing involving the ISO Certification Agency. ABCB had been helping the company involved but the issue revolved purely around the contract and ISO Certification Agency were successful with their claim. The judge was not interested in any issues regarding their use of ISO in their company name or that certificates had been issued without any assessment.

9.0   Date and venue of next meeting

The next meeting will be on Tuesday 6 May at BSI, Milton Keynes.