Association of British Certification Bodies

Minutes of the Management Systems Sector Committee Meeting
held on Wednesday 8 May 2013 at The Ascertiva Group, Warwick House,
Houghton Regis, Dunstable, Bedfordshire, LU5 5ZX

Members Present:

Mr Steve Russell   Ascertiva Group, Chairman
Mr David Bricknell   BSI
Mr David James   Certification Europe
Mr Keith Goddard   Certification Europe
Mr Wayne Thomas   SIRA
Ms Helen Taft   SIRA
Mr Ben Salter   Certification International

In Attendance:

Mr Trevor Nash   Chief Executive

1.0 Apologies for absence

Apologies had been received from Bernard Anderson. Steve Russell welcomed David James and Keith Goddard of Certification Europe, a new member of ABCB, to their first meeting. He also welcomed Ben Salter of Certification International who is replacing Norman Charters, who will be leaving Certification International at the end of May.

2.0 Minutes of the meeting held on 16 January 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 3.1 - China

There had been no progress on this action and it was agreed to delete this action.

4.0 Liaison reports

4.1 SBAC/CBMC

There was no report as CBMC was due to be meeting the following week. Steve Russell reported that UKAS was trying to book head office audits by July and that surveillance durations are likely to increase.

4.2   DIQF

Trevor Nash reported that the MoD Sector Scheme launch meeting took place on 26 February at UKAS and was attended by seven certification bodies that had expressed an interest in the Scheme. A number of suppliers have raised questions and concerns regarding the scheme, and how it fits in relation to current certification. There are also a number of other queries to be resolved and the draft Scheme document will be amended to clarify these.

Assessor competence and the requirements for a training package are being discussed with CQI.

Trevor Nash reported that, at the last UKAS PAC meeting, he had asked if the MoD Sector Scheme would apply to MoD contractors outside of the UK, especially within Europe. It was explained that the MoD requirement is for appropriate certification and accredited certification is not a mandatory. European bidders would be invited to apply for accredited certification under the scheme and the local accreditation body asked to liaise with UKAS in such cases.

Post Meeting Note: MoD has announced that the start of the Scheme pilot which was scheduled to have begun on 1 June 2013 has been delayed.

Central to the Scheme is improving the confidence in certification through competent auditors. One element of the process for determining auditor competence was to have been a test set by the MoD. CQI through its Defence Interest Group has been in the process of developing a defence Body of Knowledge. MoD has held preliminary discussions with CQI on the provision of teaching and examining such a Body of Knowledge; the detail of determining the exact contents of the Body of Knowledge has been more difficult to establish.

A update will be provided no later than the end of July when a new pilot start date will be announced.

4.3   JTISC

UKAS reported that, whilst some additional existing TickIT accredited Certification Bodies were showing interest in TickITplus, there are also a number indicating that they would not proceed with accreditation for the new scheme.

There are concerns about the approaching transition deadline of 30 November 2014 and the amount of work required by TickIT certified organisations in order to complete the transition.

The next versions of the Core Scheme Requirements and BPL are in draft. The revised CSR will be updated with a number of changes most of which are wording clarifications and resolution of inconsistencies.

Capability Levels will be formally launched after the transition deadline, however training is expected to be available during 2014.

The Steering Committee for PAS 555 Cyber Security Risk Management has reviewed public comments and a number of changes will be made to the draft prior to publication. Certification using PAS 555 is outside of the remit of the current committee, however it is thought likely that certification will be a natural follow on from publication.

IST 33 Panel 1 met in February to prepare for the ISO Technical Committee meeting in April, where a decision would be made on the acceptability of the current DIS versions of ISO 27001 and ISO 27002. If the vote in April was positive a Final Draft International Standard (FDIS) will follow and publication of the final versions expected October/November 2013.

4.4 SES/1/1

SES 1/1 WG5 met the previous week to discuss the proposed changes to ISO 14001 in preparation for the next ISO TC meeting in June. There is not much discussion around changing the new proposed structure as appeared in the first Committee Draft.

4.5 CAS/1

Steve Russell reported that the revision of ISO/IEC 17021 is under way. There are a number of proposed changes including:

- Requiring surveillance visits to be undertaken in a given calendar year rather than annually ,
- Removal of the requirement for an impartiality committee and replacing it with a requirement for a mechanism to safeguard impartiality
- Inclusion of additional requirements on risk, including geographical expansion,
- A six month limit, following the stage 2 assessment for non-conformities to be corrected, otherwise a repeat stage 2 assessment will be required,
- No extension of certification permitted if the recertification is not completed on time , but recertification can be granted within six months,
- Incorporation of ISO/IEC TS 17022 requirements,
- Replacing the 'X's in Annex A with explanatory text.

The timetable is for publication of the new standard at the end of 2013. ISO CASCO WG 21 will meet in June to discuss the next stage which could be to go to Draft International Standard.

There is a proposal that WG 21 establish a sub group to look at certification bodies' control of overseas activities.

5.0   Meetings

5.1   Non-accredited certification bodies   - 6 Feb 2013

There was a presentation from Power Software Solutions Ltd about Yoshki which helps protect, manage and control brands online www.yoshki.com.

The ISO Certification Agency has now changed its name to International Certification Agency.

Trevor Nash reported that he had been made aware of a situation in Northern Ireland where the Department of Finance and Personnel (DFPNI) has a requirement for contractors seeking public contracts to have accredited certification of their health and safety management system or be recognised by a professional health and safety body or institution. Some of the organisations listed on the DFPNI website were accredited by ASCB(E). Trevor Nash had contacted John Mortimer at BIS who had informed DFPNI that UKAS is the UK's national accreditation body and that they should only specify UKAS accredited certification. DFPNI will in future require contractors to hold UKAS accredited certification but will also continue to accept contractors that are recognised by a professional health and safety body or institution.

A new Commission CERTIF document, "Requirement to seek accreditation in the Member State of establishment", was published on 11 April. Whilst the paper is prefaced with a caveat, to the effect that it is guidance and that the ultimate interpretation can come only come from the ECJ, it does state that:

> "To avoid introducing competition between accreditation bodies and leaving a loophole for conformity assessment bodies to shop around for accreditation certificates, Art. 7(1) of the Regulation should be understood as it stands: '*Where a conformity assessment body seeks accreditation it shall do so with the national accreditation body of the Member State in which it is established […]*' (emphasis added by the Commission)."

Trevor Nash reported that there was also a SOGS paper regarding accreditation bodies other than national accreditation bodies. He had not seen a copy of the paper but had been informed that BIS did

not believe it could be legally enforced in the UK. The paper is being revised.

5.2   UKAS PAF & PAC   - 5 March 2013

Paul Stennett had presented a review of the last year and reported on the following main items:

- The increased demand for accreditation

- Recent senior staff changes;

- Some recruitment difficulties, especially at the technical level;

- Darwin was now up and running and the main implementation difficulties overcome;

- The EA peer evaluation;

- Development projects

- The contribution accreditation made to compliance as demonstrated by the horsemeat scandal where no accredited certification (eg Red Tractor) or testing had been questioned.

John Mortimer provided an explanation of the BIS monitoring of UKAS as set out in the MoU which was achieved by provision of information, regular meetings with the Chief Executive and monitoring of performance eg customer complaints. John Mortimer confirmed that BIS is broadly content with UKAS performance.

Malcolm Hynd provided an update on the economic reporting which the economic value of accreditation is calculated to be in the region of £600m per annum. It had not been possible to quantify a number of other important benefits such as the contribution to public health and safety, trade facilitation and error reduction in industry where the benefits would also be substantial.

Paul Stennett introduced the UKAS strategy for the next five years as agreed by the UKAS Board. The key objectives focus on stabilising the business and then looking for further growth. The main objectives were grouped into four main areas: People; Core Business; Business Development (including in existing markets) and Customers and Stakeholders.

The PAF meeting was followed by a PAC meeting. Paul Stennett reported on the last UKAS Board meeting where the main items covered were:

- Agreement of the strategy plan

- The peer evaluation

- Improvements to financial reporting

- Consideration of the integration of CPA into UKAS' Darwin IT system with the conclusion that this was not possible at the current time

- The business plan for 2013/14

- Possible changes to the fee structure including the possible removal of the annual fee.

Paul Stennett advised that, following Graham Talbot's retirement, the intention was to spread international work more evenly across a number of people rather than concentrate on one person

5.3   EACC   - 13 March 2013

5.3.1   Meeting report

There was discussion about what happens to accreditation certificates where a certification body does not complete a transition in time. It was agreed that an AB cannot have accreditation certificates to an obsolete standard in place. In theory the accreditation certificate has expired but ISO/IEC17011 only allows for suspension or withdrawal. It was agreed that EA would prepare a discussion paper for the IAF TC.

It was proposed that accreditation of certification bodies for the End of Waste regulations shall be to ISO/IEC 17021. Certification of the QMS of producers by CB's shall be against ISO 9001 and the applicable requirements of the Regulations. Accreditation certificates shall reference the Regulation as shall the CB's certificates which shall also specify the type of waste.

The draft of new regulation to replace Regulation EC 765 makes no reference to accreditation. It was clarified that this new regulation covers only market surveillance and that other elements of Regulation 765 will remain unchanged.

ETSI has asked EA to become involved in the development of a new sector scheme to support a new regulation replacing current directive 1999/93 'Community Framework for Electronic Signatures'. It will be a sector specific implementation of ISO 27001.

Draft EA Guidelines on the Accreditation of Organic Production Certification was approved by EACC to go out for voting.

There is an early draft of an EA Document on Witnessing Practices for Management Systems Certification. The Task Force will develop a revised draft taking account of initial comments.

The Task Force on accreditation of OHSAS 18001 certification has produced a first draft document which they wish to circulate for preliminary comments. The aim is to have a draft for comment by the next meeting.

A final draft of EA-6/02 Guidelines on the use of ISO/IEC 17065 and ISO/IEC 17021 for certification to EN ISO 3834 (fusion welding) has been out for comment and it was agreed that it should now go for ballot. The European Welding Federation has been heavily involved in the Task Force.

It was agreed that as EN15224 Health care services; Quality Management Systems requirements based on En ISO 9001:2008' is a standalone standard it can be separately accredited and certification bodies can certify to it. As it fully incorporates ISO 9001 a separate ISO 9001 certificate can also be issued.

5.3.2   EACC FAQ,s

Trevor Nash reported that a list of EACC frequently asked questions, with a response, had recently been circulated for comment. Members were asked to review the responses and advise Trevor Nash of any comments by 31 May.

Action: Members

There were also questions considered at the last EACC meeting. One of these related to a certification body operating a 'Recognised Consultant Scheme' which is a list of consultants that are recognised by the CB, with these consultants being allowed to using a logo that gives the CB's name. The CB's website states that 'Certification will not be simpler, easier, faster or less expensive if a recognised consultant is used'. Following discussion, Members agreed that this practice is not a contravention of ISO/IEC 17021, but there is a risk that impartiality could be compromised and the CB should manage that risk through its impartiality committee.

5.4   EA HHC   - 19/20 March 2013

EA-2/13 on cross frontier accreditation under Regulation 765 is being revised and the draft revision is ready to go out for voting,

It was agreed that for accreditation of notified bodies it should be a goal for all national accreditation bodies to use the same standard for each Directive. It was agreed to develop a table of standards for modules which would identify the preferred standard and identify the additions in terms of specific clauses from other standards,

The Blue Guide on implementation of EU product rules is being revised. An additional commenting and drafting round will be organised before a new stakeholder meeting takes place in September.

5.5   IAF TC   - 29/30 April 2013

A summary report of the IAF Technical Committee meeting is attached at Annex A.

6.0   UKAS

6.1   UKAS update

Trevor Nash presented a report of the information provided by UKAS at the recent Management Committee Meeting.

UKAS has recruited four new Assessment Managers since November. One of these did not stay but there are potential replacements from the last batch of interviewees. Five new Technical Assessors mainly for EMS and Highways Agency are going through training. Training of Technical Experts to become Technical Assessors continues. Currently 35 have completed training and the aim is to train approximately another 25. Recruitment of Liaison Officers is now complete.

UKAS is creating a new role of Internal Training Manger (Debbie Hudson) who will be looking at induction of new staff. This will provide a more focussed approach with the aim of giving new staff a better grounding, greater consistency and speeding up the training process.

There has been a significant improvement in booking of routine visits and the situation is almost at the target. Booking of witnessed assessments continues to cause problems. The situation has improved but most certification bodies still have a backlog. The importance of cooperation from certification bodies in booking witnessed assessments was stressed. It is apparent that some certification bodies do not appreciate the flexibility that exists to switch visits within the four year accreditation cycle. Witnessed assessment programmes are often discussed at Head Office visits but ideally this should be done earlier so that witnessed assessments can be completed before the Head Office visit. This would then allow for any issues to be discussed during the Head Office visit.

There are some difficulties with overseas visits as there are some accreditation bodies where communication is a problem. Where the overseas accreditation body is engaged arrangements are working well.

Processing of extensions to scope is not on target. There are less applications for extensions that are stuck but there are still some where there are difficulties in programming assessments and in decisions. The overall position regarding decisions has improved but temporary resource issues have caused some recent problems. Wayne Thomas stated that SIRA had recently visited UKAS in an attempt to resolve some extensions to scope that were over two years old.

David James stated that Certification Europe had a generally good experience with UKAS which was due to keeping on top of matters and engaging with UKAS.

During the EA peer evaluation of UKAS four non-conformities, 12 concerns and four comments were raised. The peer evaluation included an extension for Green House Gas validation and two of the non-conformities related to this. The others were regarding the level of detail on schedules and that a UKAS assessment failed to note a certification logo on an inspection body report. The expectation is that UKAS's MLA signatory status will be confirmed at the forthcoming EA MAC meeting, with the extension for Green House Gas validation being approved later in the year.

Post Meeting Note: UKAS was confirmed as an EA MLA signatory at the April EA MAC meeting and the extension for Green House Gas validation was also agreed.

6.2   ISO/IEC 17021:2011 transition

All UKAS accredited management systems certification bodies successfully completed the ISO/IEC 17021:2011 transition, for their full scopes, by the deadline.

6.2   Members' issues

Wayne Thomas commented that UKAS's relationship with CNAS appears to be non-existent. Trevor Nash commented that this had always been a problem and that in the early days of cross frontier accreditation CNAS had been unwilling to work under subcontract for other accreditation bodies due to their own workload.

7.0   **Any other business**

There was no other business.

8.0   **Date and venue of next meeting**

The date of the next meeting was agreed as Wednesday 25 September. Trevor Nash agreed to ask BSI if they would host the meeting.

ANNEX A

IAF TECHNICAL COMMITTEE REPORT – FRANKFURT, APRIL 2013

TASK FORCE UPDATES

Indicators of Certification Body Performance

In view of the time that had passed in development, it was questioned if there was a need for this document; the document identifies only four indicators:

- Number of certificates by country and standard,
- Number of assessors, including sub contractors, by country and standard,
- Number of transfers and
- Overdue surveillance visits

It now needs to be circulated for 60 day comment.

Cross Frontier Accreditation

The draft revision of IAF GD 3 has been out to the IAF membership for comment and following approval by the IAF Chairman will be circulated for ballot.

Complex, Multi-site Certification without Sampling

There had been no progress since the Rio de Janeiro meeting and the Task Force was due to after the Technical Committee meeting. The target is to agree a draft document for comment at the next meeting.

Environmental Management Systems Scoping

The Task Force agreed to remove the designated risk levels as it is hard to apply these consistently across all global regions but did agree to retain the examples of common environmental aspects. A 3rd draft document for 30 day TC member comments will be available shortly.

Competence of Accreditation Assessors and Experts

Strong and conflicting comments had been received on the draft document from the 30 day TC comment process. It is recognised that there is a need for a document covering accreditation body assessor competence but the general view is that the draft in its current form is far too complex. It was agreed to continue with developing a mandatory document but to simplify it.

Effectiveness of MD5

There is little opposition to the table numbers and basically the document is effective if they are applied properly. There is a view that an issue is the way some accreditation bodies monitor the way some certification bodies apply MD5, for example:

- some certification bodies almost always apply the maximum permitted reduction of 30%,
- there is rarely any increase in man days above the table figures,
- misunderstanding of the 20% site rule and
- misrepresentation of employee numbers.

It is considered that there is less of a problem with EMS compared to QMS. Proposed solutions included:

- not allowing any reductions from the table figures and
- applying factors of risk and complexity to QMS, as with EMS.

This was the first meeting of the Task Force and work will continue.

Counterfeit Certificates

The Task Force's objective is to develop an informative document for IAF. There is an international group involving Interpol, customs authorities, national law enforcement authorities etc that is looking at the whole issue of counterfeiting of certification of both products and management systems. An official IAF liaison with this group was appointed.

WORKING GROUP UPDATES

Working Group on Management System Certification

A survey on the use of Market Surveillance (ID4) by accreditation bodies is to be undertaken.

It was agreed that for countries posing long lasting security risks (e.g. where the rule of law has been undermined or where security and military operations are ongoing), and accreditation bodies are unable to conduct assessments, certification bodies' scopes of accreditation should be amended to remove these geographical areas.

The group looked at a paper submitted by the IIOC on AB inconsistencies in the application and position taken on documented requirements. The Working Group will initiate an investigation of the IIOC concerns with identified accreditation bodies listed to seek clarification or corrective actions.

The WG will develop a document to address the transition to the revised ISO/IEC 9001 with the aim of it being available by the publication date of the revised standard at the latest.

It was agreed to establish a Task Force on Control of Certification Bodies' Franchisees and Subcontractors.

Working Group on Food (ISO 22000)

A draft mandatory document on scoping for food safety management systems was agreed for circulation to IAF members for ballot.

The Working Group is also working on a 2nd draft of an expected outcomes document on ISO 22000 certification and an assessor competency document.

Working Group on ITSMS (ISO/IEC 20000)

A draft document on additional requirements to ISO/IEC 17021 for certification to ISO/IEC 20000-1 was revised and is now ready for IAF member 60 day comment period.

Working Group on ISMS MLA Scope (ISO/IEC 27001

A draft for a mandatory document on knowledge requirements (competence) for ISO/IEC 27001 was agreed for circulation to IAF TC members for 30 day comment.

DISCUSSION PAPERS

- ISO/IEC TS 17021-3 was agreed as an endorsed normative document to be applied in conjunction with ISO/IEC 17021 for QMS with a two year transition period following its publication.

- There was a proposal that certification bodies must obtain local accreditation before applying for foreign accreditation. It was agreed that IAF cannot mandate this, although there may be instances where it is required by regulation. However, certification bodies should be encouraged to seek local accreditation where possible.

- There was a question regarding the exchange of information between accreditation bodies. It was agreed that as accreditation status and scopes of accreditation are in the public domain, any changes in this information can be exchanged between accreditation bodies, however, exchange of detailed information is subject to IAF MD1.

- It was agreed to establish a Task Force to develop a document on a harmonized approach for witnessing for accreditation of management systems certification.

- It was agreed to establish a Working Group for Business Continuity Management Systems (BCMS).

- It was agreed that the note at clause 3.9 of MD5 allows a certification body to justify additional reductions (above 30%) when appropriate for individual sites of a multi-site organization, where sampling is permitted.

- It was agreed that at the end of a transition period accreditation certificates to the old standard become invalid and should be withdrawn. There may, however, be exceptional cases where regulations cannot be amended within the transition period and the each accreditation body should have a policy to manage these situations on a case-by-case basis.

- There was a question regarding whether an assessor visiting an individual site of a multi site organisation requires the full competence for the organisation or only the necessary competence relative to the site in question. It was agreed that a specific audit team member need only have the competence to audit those activities assigned.

- It was agreed that certification bodies offering different fees, for the same services, to different clients is not a conflict of interest.