Association of British Certification Bodies

Minutes of the Management Systems Sector Committee meeting held on Wednesday 28 March 2018 at NQA, Warwick House, Houghton Hall Park, Houghton Regis, Dunstable, Bedfordshire, LU5 5ZX

Members Present:

Mr Steve Russell	NQA, Chairman
Ms Karen Green	BSI
Mr John Elen	Advanced Certification
Mr Keith Goddard	BAB
Ms Tracie Hunter	BASEC

In Attendance:

Mr Trevor Nash	Chief Executive

1.0   Apologies for absence

Steve Russell welcomed Tracie Hunter to her first meeting. Apologies were received from Lee Brankley (UKCARES), Jim Speirs (Systems Certification), Martin Coles (International Associates) James Gibb (Advanced Certification), for whom John Elen was deputising and Mannie Panesar (NMO).

2.0   Minutes of the meeting held on 26 September 2017

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   CAS/1

The committee secretary has been informed Steve Russell wishes to continue as a full member of CAS/1. She has asked for Steve to contact her himself to confirm this and to give her his contact details again as she no longer has them. Trevor Nash agreed to forward the committee secretary's contact details to Steve Russell.

Action: Trevor Nash

4.0   Liaison reports

4.1   SBAC/CBMC

Items form the EAQG meeting in February included:

- OASIS currently uses the USA date format and there was support to move to using the month name e.g. Sept in the future;

- there is pressure on CB's to ensure that reports uploaded to OASIS are accurate as the OASIS team refuses requests to modify reports. The only solution, at present, is to re-enter the entire report;

- IAQG confirmed that assessors can access their reports if they leave a CB;

- a download facility is being created to allow reports to be downloaded and printed;

- the audit duration calculation has been added to the website;

- CB admin must enter audit plans and not auditors, unless they have been given a CB admin identity.

4.2   DIQF

There are four projects in the DIQF Workstream Project Management Plan for 2018 – 2020:

- Counterfeit Avoidance:
  - supporting tier 2 and tier 3 suppliers with advice and guidance;
  - raising awareness on the counterfeit avoidance issue to the CQI;
  - engage with other functional areas to raise awareness (e.g. CIPS).

- Improved understanding and implementation of AQAP 2110 Supply Chain Requirements:
  - ensuring effective flow down of contractual requirements;
  - appropriate assurance in the supply chain.

- Attracting and retaining people in quality in defence:
  - make quality an attractive career of choice;
  - a recognised framework for learning, development and accreditation.

- Defence equipment fault reporting and analysis:
  - industry's ability to standardise best practice fault reporting;
  - re-engineering the value of fault reporting of defence equipment by front line commands;
  - communicating improvements as a result of analysis.

4.3   QS/1

ISO TC 176 is setting up a Task Force on Future Concepts in Quality Management and a Task Group ISO 9001 Brand Integrity, to promote the ongoing credibility of ISO 9001 and other TC 176 standards when used for conformity assessment or certification.

4.4   SES/1/1

Work has commenced on the development of ISO 14007 Environmental management – determining environmental costs and benefits – guidance.

DIS ISO 14008 Monetary valuation of environmental impacts and related environmental aspects – principles, requirements and guidelines has been circulated for comment.

New work items have been approved for;

- ISO 14002 Guidelines for applying the ISO 14001 framework to environmental aspects and environmental conditions by environmental topic areas

- ISO 14009 Environmental management systems – guidelines for incorporating redesign of products and components to improve materiel circulation.

- ISO 14063 Environmental management – environmental communication – guidelines and examples.

4.5   CAS/1

ISO 17011:2017 and ISO 17025:2017 were published on 1 December.

Revision of ISO/IEC 17000 Conformity assessment – vocabulary and general principles has started.

New work items have been agreed for:

- ISO/IEC 17021 -8 management systems for sustainable development

- ISO/IEC 17021-11 facility management systems

The systematic reviews of ISO/IEC 17021-5 (asset management systems), ISO/IEC 17021-6 (business continuity management systems) and ISO/IEC 17021-7 (traffic management systems) ended on 6 December, and all have been confirmed.

ISO/IEC 17021-10 (health and safety management systems) passed ballot and publication is scheduled before the end of March.

Work has commenced on the development of ISO/IEC 17029: Requirements for bodies performing validation and verification activities.

A revision of The Expected Outcomes for accredited certification to ISO management systems standards such as ISO 9001 and ISO 14001 has been published.

There is a new work item proposal for ISO TS 23406: Sector application of ISO/IEC 17021-1 for the nuclear sector. There is also a standard for the application of ISO 9001 in the nuclear sector which is currently out for FDIS ballot (closing 4 April).

A revision of ISO 19011 Guidelines for auditing management systems has passed the DIS ballot.

5.0   Meetings

4.1   UKAS PAF/PAC

There was an update from BEIS on the use of the term 'accreditation' in company names as it has no criteria on which to base a decision unless the company's proposed activities fall firmly within the scope of Regulation 765/2008 and BEIS is seeking a clearer definition from its lawyers. It was stressed that BEIS and UKAS need to work together to get the message across that UKAS accreditation is the only accreditation recognised by Government.

UKAS has been in detailed discussions with BEIS over the terms and details of the Statutory Instrument which will be needed to transpose EU 765/2008 into UK Law. This is unlikely to be finalised until after the passage of the EU Withdrawal Bill.

It was noted that notified bodies need clarification on their status post-Brexit and the need for UKAS to maintain pressure on the Government for clarification was stressed

Paul Stennett provided an update on the UKAS three-year strategy, the key themes and challenges being:

- Brexit;
- introduction of the new IT system;

- transition of new standards. Transition to ISO 17025 being the biggest as 75% of UKAS customers need to be transitioned.

Key strategic objectives include:

- a leadership development programme for senior and middle managers;
- benchmarking UKAS against its international peers;
- exploring opportunities for flexibility in service delivery under ISO 17011;
- evaluating economic benefits of accreditation.

At the PAF meeting Paul Stennett reported on:

- 2017/2018 UKAS performance;
- the UKAS 2018 – 2021 strategy;
- the UKAS 2018/2019 business plan.

There was a presentation from Sarah Smith, Deputy Director of the Office for Product Safety and Standards of BEIS and Lorraine Turner of UKAS gave a presentation on the possible outcomes of Brexit and the impact on UKAS.

The PAF meeting was followed by a Policy Advisory Council meeting. There were the normal reports covering the last UKAS Board meeting, international, operations and development and technical activities. A proposed cooperation agreement between UKAS and SSIP regarding the recognition of UKAS accreditation for OHSAS 18001 (and subsequently ISO 45001) for the SSIP scheme was agreed. This is supported by all 21 SSIP certification body members that are accredited by UKAS.

4.2   UKAS MSCTAC

There was an update on the implementation of a single schedule for management systems accreditation. UKAS is reviewing all schedules and identified that there is a mixture of using NACE 1 and NACE 2. Assessment Managers had been asked to upgrade scopes to NACE 2 but this has not been fully implemented. Some sub-scopes have moved between EA codes and this may result in some scopes being added to schedules. The new schedules will use descriptions for exclusions and limited scopes instead of NACE codes. All schedules will need to be reissued by 15 September 2018 at the latest and this will be the deadline for full implementation of the single schedule.

TPS 67 covering reference to normative documents in schedules of certification is on the UKAS website for formal comment.

Assessment Managers have from January to August 2018 to review forward plans for witnessed assessments to align with IAF MD 17. The aim is to look back over the certification cycle and identify what

witnessed assessments need to be carried out in order to comply with MD 17.

The issue of non-accredited certification was included on the agenda. It was agreed to draft an article which highlights the issues and which can be circulated to the technical press and be used by accredited certification bodies.

There was a discussion concerning whether, accredited certification bodies can issue non-accredited ISO 45001 certificates prior to completing their migration. The initial UKAS position is that it would be not be allowed due to the IAF Resolution on non-accredited certification. It was pointed out that ISO 45001 is not within any certification body's scope and therefore the IAF resolution does not apply and that non-accredited certification bodies will be offering ISO 45001 certification from its publication date.

4.3   EA General Assembly

The EAGA has proposed changes to the EA membership rules which would allow UKAS to remain a full member post Brexit.

The Commission is revising Regulation 765, labelled 'the goods package'. The articles on accreditation and CE marking will not change and the aim is to improve market surveillance and reduce the level of non-conforming products on the EU market.

The IAF peer evaluation of EA for green house gasses and proficiency testing was performed April – June 2017 and a positive recommendation has been made. The next full IAF/ILAC evaluation of EA is scheduled to start July 2018.

The possibility of an EA mark has been suggested but has not received much support.

There was a resolution concerning consultancy and notified bodies which means that a notified body cannot provide consultancy to manufacturers, of the types of product for which they are notified, who are not their clients, which is contrary to the requirements of ISO/IEC 17065 which only restricts the CAB providing these services to its clients. The issue is not only of stakeholders disagreeing with the resolution, but also of EA making up new rules which are not consistent with the published documents.

There was a report on a benchmarking exercise comparing eight EA accreditation bodies which revealed some alarming variations.

4.4   IAF

End users raised concerns regarding the, perceived, slow progress of certified organisations completing the transitions for ISO 9001:2015 and

ISO 14001:2015. As a result a resolution was agreed that:

- on 15 September 2018, all ISO 9001:2008 and ISO 14001:2004 certifications shall expire or be withdrawn and;

- as of 15 March 2018, CABs shall conduct all ISO 9001 and ISO 14001 initial, surveillance, and recertification audits to ISO 9001:2015 and ISO 14001:2015.

Other resolutions included:

- A three year transition period for ISO 50001:2018 Energy Management Systems – Requirements with guidance for use. Within this timeline;

- A three year transition period for ISO 14064-1:2018 Greenhouse gases -- Part 1: Specification with guidance at the organization level for quantification and reporting of greenhouse gas emissions and removals, and ISO 14064-2:2018 Greenhouse gases -- Part 2: Specification with guidance at the project level for quantification, monitoring and reporting of greenhouse gas emission reductions or removal enhancements;

- A three year transition period for the next revision of ISO 22000:2005 Food safety management systems -- Requirements for any organization in the food chain;

- A two year transition period for ISO/IEC 17021-3:2017 Competence requirements for auditing and certification of quality management systems;

- A two year transition period for the implementation of ISO/IEC 20000-6:2017 Requirements for bodies providing audit and certification of service management systems and ISO/IEC 20000-1:2011 Service management system requirements. At the end of the transition period, IAF MD18:2015 will be withdrawn;

- There will not be any accredited certification to ISO 31000:2009, Risk management – Principles and guidelines, as it explicitly states that it is not intended or appropriate for certification;

- All peer evaluation activities carried out from 1 July 2018 will use ISO/IEC 17011:2017 as the requirements document. Accreditation bodies that will not be peer evaluated during the three year transition period will be transitioned by a document review.

The General Assembly agreed to proceed with the establishment of a global database of accredited management systems certificates and a preferred vendor, that has experience of operating a database for JAS-ANZ, has been identified. The aim is for the database to be free

for CB's and their clients and will be funded through a business to business service. This will be voluntary for certified organisations and will allow certified organisation to search the database for certified suppliers. IAF will now form a wholly owned subsidiary limited liability company to be responsible for the continuing development and ongoing operation of the database.

The following documents have been published:

- IAF MD 21:2018 Requirements on the Migration to ISO 45001:2018 from BS OHSAS 18001:2007,

- IAF MD 22:2018 Application of ISO/IEC 17021-1 for the Certification of Occupational Health and Safety Management Systems (OH&SMS).

- IAF MD 1:2018 Audit and Certification of a Management System Operated by a Multi-Site Organization, which is a merger of MD 19 and the previous version of MD 1.

The draft mandatory document Entities Operating on Behalf of Accredited Certification Bodies has been circulated for ballot.

The following draft revised mandatory documents will be circulated for 60 day IAF member comment:

- IAF MD 4 for the use of Computer Assisted Auditing Techniques (CAAT) for Accredited Certification of Management Systems;

- IAF MD 11 for the Application of ISO/IEC 17021 for Audits of Integrated Management Systems.

Work is continuing on documents to cover the following:

- Conformity assessment schemes;

- Duration of accreditation body assessments;

- Transitions;

- Counterfeit certificates.

Discussion papers considered by the Technical Committee included:

- a recertification decision must include an independent review carried out by appropriately competent personnel different from those that carried out the audit;

- the information to be provided to a client to justify the number of effective personnel and audit duration in accordance with IAF MD 5 must be enough for the client to understand the

calculation but need not include all of the calculations the CAB used to determine the audit time. This may include; determination and number of effective personnel, the number of audit days, and the factors without the percentages that were applied. It is not acceptable for the contract to just refer to IAF MD 5.

- In a multi-site organisation where sites perform different processes, the sites performing each process should be treated separately for sampling.

- the minimum number of witnessed audits cannot be reduced from those required by IAF MD 17 due to how a certification body manages competence of its auditors.

- It is acceptable for a certification body to charge a fee to appellants in the event of a negative decision, providing the certification body considers the risk to impartiality, has mitigated any identified risks and the process is considered effective,

- an accreditation body cannot delay implementation of IAF MD 17 until the beginning of a certification body's next accreditation cycle.

IAF conducted a survey, asking its AB members to collect information on progress from their accredited certification bodies, up to 31 December 2017. Submissions were received from the vast majority of IAF ABs and gave transition rates covering a total of over 1 million ISO 9001 and 350,000 ISO 14001 accredited certificates. The transition rates were 36.94% for ISO 9001 and 39.73% for ISO 14001. IAF is now collecting data up to 28 February 2018 in preparation for the next meeting at the beginning of April.

4.5   Quality in the Supply Chain   3 Nov 2017

This was a meeting initiated by the Office of Nuclear Regulation and MoD which had concerns over the quality of supplies from certified suppliers. The next stage will be to develop a paper on how confidence in the supply chain can be improved. A draft will be circulated to attendees at the meeting. UKAS has also taken an action to ask the Auditing Practices Group to revisit the expected outcomes from ISO 9001 certification document. A further meeting is planned once the paper has been drafted.

4.6   HSE Blue Tape   9 Nov 2017

The HSE blue tape project is looking at the business to business burdens regarding health and safety due to the proliferation of different requirements. This was essentially a fact finding exercise for HSE. Following on from the meeting UKAS is hoping there will be greater

engagement from HSE and that they may look at how accredited ISO 45001 certification could help in reducing this burden.

6.0   UKAS

6.1   UKAS update

Kevin Belson informed the committee that Paul Stennett would be retiring from UKAS in the autumn. Recruitment of a new Chief Executive is in progress. In addition, Phil Shaw will be retiring at the end of March, although he will continue to work part time to complete some projects. Phil's position is not being replaced and his responsibilities will be split.

UKAS is implementing ISO 17011:2017 and has requested a transition peer evaluation in June to coincide with its evaluation for an extension to scope for proficiency testing providers.

The current UKAS position concerning certification to ISO 45001 is that certification bodies accredited for OHSAS 18001 cannot issue non-accredited certificates for ISO 45001 as this would be contrary to IAF Resolution 2015-14. UKAS is, however, aware that there are differing views on this matter and a number of stakeholders have questioned their position.

Post meeting note: UKAS has now agreed that accredited certification bodies can issue non-accredited ISO 45001 certification.

All certification bodies now have at least a provisional decision for their ISO 9001:2015 and ISO 14001:2015 transition. All head office assessments have been completed and there are a small number of witness assessments remaining to be completed. There have been four certification bodies that have dropped their accreditation for ISO 9001 and two for ISO 14001. These are mainly product certification bodies that have only very small numbers of management systems certificates.

6.2   Members' issues

John Elen asked why there are so many problems arranging witnessed assessments. Tracie Hunter responded that, when at BRE, she had encountered problems because UKAS were unable to find an assessor who could deal with three standards. Steve Russell advised that it is dependant on which assessor is allocated and suggested that direct (unofficial) contact with a sub-contract assessor can be beneficial in progressing witnessed assessments.

There was concern that IAF MD1:2018 has an immediate implementation date and John Elen was aware of a CB receiving a non-conformity for not having implemented it two weeks after its publication/ implementation.

7.0   Any other business

There was no other business.

8.0   Date and venue of next meeting

The next meeting will be held in conjunction with a Management Committee meeting on Monday 4 June at BSI Milton Keynes. Representatives of UKAS will be in attendance.