Minutes of the Certification Committee

Tuesday 2nd June 2020

Online Meeting

Members present:

Steve Russell (Chair)	NQA
James Gibb	Advanced Certification
Keith Goddard	Advanced Certification
Nonn Reynolds	BSI
Amanda Pakes	BSI
Martin Coles	International Associates
Mark Salt	AFNOR UK
Ben Salter	AFNOR UK
Stephen Carter	QAICL
Rachel Davidson	BESCA
Tracey Barber	BAB
Julian Russell	BAB
John Duncan	ForeFront Certification
Andrew Daly	EQA (Ireland)
Wayne Thomas	SIRA
Andrew Geens	CIBSE Certification
Jim Spiers	System Certification
David Daly	EQA (Ireland)
Matthew Nortcott	CARES
Andrew Ten-Broeke	NMO (Office for Product Safety & Standards)

In attendance:

Wayne Terry	ABCB Chief Executive
Kevin Belson	UKAS
Steve Randall	UKAS
Jeff Ruddle	UKAS (part)
Danielle Wood	DEQA (guest)

Welcome

The chair welcomed everyone and explained that given the extraordinary times we find ourselves in (due the Government lockdown) we are having to meet online for the first time. The chair reminded members that the last time we came together the UKAS surgery on 27th February, which proved to

be a great success and therefore, the last 'actual' Certification Committee meeting was held back in November so those are the 'previous minutes' for this meeting.

In addition, given the current global pandemic of COVID-19, we are going to deviate from our usual format and have arranged a Q&A session with UKAS on all things around Remote Auditing, so Kevin and Steve will be joining us later.

Following requests from members, we will hold 'members only' section which will be incorporated as a change to the standing agenda. Lastly the Chair welcomed Danielle Wood of DEQA as guests for today's meeting who are an aspirant member.

1.0   Apologies for absence

Nick Wright (NQA), Karen Green (BSI), Tony Duff (System Certification) Bal Gil (ForeFront Certification),

2.0   Minutes of the meeting held on Thursday 14th November 2019

It was confirmed that the Minutes were a true record of the previous meeting.

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

3.1   **Confidentiality**
Remind members of their responsibilities outlined in the Code of Practice covering the confidentiality of the content of this meeting:

"*Members shall not improperly disclose information gained from participation in ABCB activities".*

4.0   Members Discussion (closed Session)

4.1   **Non Acceptance of UKAS Certificates:** KG had corresponded prior to the meeting after experiencing issues with Europeans not recognising UKAS certificates.

WT reported that he had already discussed this with UKAS and they were equally concerned and requested further details. WT also stated that he would raise the issue at UKAS PAC meeting being held on 3rd June.

ACTION: Details of non-acceptance of certificates in Europe to UKAS.   AP

4.2   **Remote Auditing:** JS & JG felt that social media seemed to be negative about remote auditing.

WT was surprised by this, as apart from known doom-mongers, he had not seen any negativity on either LinkedIn or Twitter. In contrast, ABCB had posted a message about members carrying out remote audits which had had around 2,400 views with no negative comments. WT will continue to monitor the situation and requested members to forward on any such articles/comments and would act accordingly.

Members present agreed that there were valuable and positive lessons to be learnt from remote auditing and JG suggested that UKAS should stay with remote audits. For those who had had a UKAS remote audit agreed it was a positive experience. WT informed members that remote audits are a part of UKAS's strategy with Jeff Ruddle heading up the project, which they have announced, will now be brought forward. WT reminded members that we would have the opportunity to put that question to UKAS as part of the Q&A session later in the meeting.

5.0   Standards Committees

5.1   **QS/1 (ISO TC 176) - Quality Management and Quality Assurance**

WT prefaced the presentation by saying there are quite a number of standards updates so only the main points of interest would be covered today, but post meeting he would send out a more expansive list.

ACTION: Circulate standards update to all members   WT

5.1.1   **Standing Committee 2**

ISO/TS 9002:2016: - Quality management systems — Guidelines for the application of ISO 9001:2015.

Standard confirmed - Last reviewed and confirmed in 2020 – therefore this version remains current.

5.1.3   **Annex L**

IEC have taken a decision to withdraw from the obligation to use what is currently 'Annex L' of the ISO/IEC Directives for management system standards.

'Annex L of the ISO/IEC Directives' will once again revert to being published in the 2020 Directives as 'Annex SL of the ISO Supplement to the ISO/IEC Directives', as it was prior to 2019 (in other words, only applicable to ISO management system standards).

There are no technical or schedule implications expected for the revision of Annex (S)L, which is scheduled to published in the revised version (as "Annex SL") in the 2021 Directives.

5.2   **SES/1/1 (ISO TC 207) - Environmental Management**

ISO/WD 14002-2: - Environmental management systems — Guidelines for using ISO 14001 to address environmental aspects and conditions within an environmental topic area — Part 2: Water.

New project registered

ISO/CD 14009: Environmental management system - Guidelines for incorporating redesign of products and components to improve material circulation.

DIS ballot closed

5.3   **ISO/TC 34/SC 17 - Management Systems for Food Safety**

ISO/CD 22003-1: Requirements for bodies providing audit and certification of food safety management systems — Part 1.

CD approved for registration as DIS – Replaces ISO/TS 22003:2013 (no change)

ISO/AWI 22003-2: Part 2: Requirements for bodies providing audits of food safety management system elements in conjunction with safe food product/process certification.

New project approved (no change)

5.4 **ISO/TC 301 - Energy Management and Energy Savings**

ISO/DIS 50003: - Requirements for bodies providing audit and certification of energy management systems.

DIS ballot closed

ISO/FDIS 50004: - Guidance for the implementation, maintenance and improvement of an ISO 50001 energy management system.

Under publication

5.5 **ISO/TC/283 - Occupational Health and Safety Management**

ISO 45001: Extension of Migration Period for accredited Certification Bodies offering certification to ISO 45001.

Please be aware that, due to the current COVID-19 situation, IAF has extended the transition period for certified companies to migrate from OHSAS 18001 to ISO 45001. The transition period is extended by 6 months and now ends on 11 September 2021.

ISO/AWI 45002: Occupational health and safety management — General guidelines for the implementation of ISO 45001:2018.

New project approved

ISO/WD 45003: Occupational health and safety management — Psychological Health and Safety in the Workplace — Guidelines.

New project registered

5.6 **ISO/IEC JTC 1/SC 27 - Information Security, Cybersecurity and Privacy Protection**

ISO/IEC 27006:2015 Amd 1:2020 - Information technology - Security techniques - Requirements for bodies providing audit and certification of information security management systems – Amendment 1 (published on the 27 March 2020).

Transitional Arrangement associated with ISO/IEC 27006:2015 Amd 1:2020 - Information technology - Security techniques - Requirements for bodies providing audit and certification of information security management systems – Amendment 1, will be two years from the last day of the month of publication of the revised standard.

Within this transition timeline:

- *ABs shall be ready to carry out transition assessments for ISO/IEC 27006:2015 Amd 1:2020, within eight months from the last day of the month of publication of the revised standard.*

- *CBs shall have completed the transition to ISO/IEC 27006:2015 Amd1:2020, through office assessment, within 24 months from the last day of the month of publication of the revised standard.*

5.7 CAS/1 (ISO/CASCO)

ISO/IEC 17000: Conformity assessment — Vocabulary and general principles

Published

ISO/IEC 17021-1:2015 - Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements

Under periodic review

ISO/CD TS 17021-12: Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 12: Competence requirements for auditing and certification of collaborative business relationship management system.

Published

ISO/IEC 17030: Conformity assessment — General requirements for third-party marks of conformity – current version 2003.

Under development (no change)

5.8 PAS Development

PAS 7050: Specification for Bringing Safe Products to Market

Key dates

- *17 April – 20 May - Public consultation (4 weeks)*
- *10 June - SG review to review comments from public consultation*
- *4 August – 10 August – Final SG editorial review of the draft*
- *November – Publication*

Energy Smart Appliance (ESA): Strategic Advisory Group

- PAS 1878 Energy Smart Appliances Classification, &
- PAS 1897 DSR Framework

Work still on going. Public consultation planned for June/July 2020 with a proposed publication date of January 2021.

6.0 Liaison Reports

6.1 **Defence Sector:** AP gave an update on the Defence Sector meetings.

CBMC - 3rd April 2020.

- 9104-001 and -003 issue expected end 2020- extensive changes to OASIS
- New Industrial Reps added to the CBMC committee, likely from Meggitt and BAE

- EAQG / IAQG OPMT providing data on Auditors / audits where no NCR's have been raised and this is going to be fed down to each individual CB to determine if there are any concerns and then answers fed back to the EAQG / IAQG OPMT
- The ADS UK Quality Group is running an Auditor conference on 18-19th November 2020 in Sheffield at the AMRC, likely to be an afternoon start on the 18th with a lunchtime finish on the 19th
- UKMOD – no movement on driving the supply chain towards AS/EN standards
- From UKAS – IAQG / OPMT recently issued a communication advising the scheme position and re-confirmed Resolution 98, which states that there can be no certificate extensions beyond 3 years, even bearing in mind the current Coronavirus situation
- New standard in development AS9108 for CB's to act on behalf as a third party to perform NC root cause, corrective action and effectiveness reviews from certification users
- UKAS are employing a new assessor, currently going through his approval, at some point he will have contact with this team
- TPT are proposing E-learning training, no other training provider provides this at the moment other that EASA, trying to sell the benefits as:
- Training conducted at the client's pace
- No minimum / maximum class numbers required to run a course
- Saving on travel, accommodation costs etc
- Minimum pass mark before proctored exam.
- Feedback tickets to be raised on CB's to review trends whereby auditors are raising zero findings
- Next IAQG in San Diego 18-21st May – COVID expected to be hot topic, degree of expiry date flexibility for clients in Recert
- New AQAP 2110 SRD guidance document published Jan 2020 – available at https://nso.nato.int/nso/nsdd/_CommonList.html

DIQF – 11th March 2020

Workstream 1: counterfeit avoidance.

A counter fraud Feb 2020 event was held and the NHS have asked if they can learn from MOD experiences in this field.

A plan for the way ahead for this working group is to be planned by the next meeting.

Workstream 2 improved understanding and implementation of AQAP 2110 re d supply chain requirements.

No update.

Workstream 3 attracting and retaining competent people in quality across defence sector.

3 year strategy to promote quality as a career path of choice in defence links with CQI`s 2030 strategy.

5 themes align operation model, redesign offerings, lead quality management practice, broaden the scope of the profession and grow our global influence.

Workstream 4 defence equipment fault reporting analysis.

A new white paper is being produced.

In addition:

- 3 MOD quality events planned -8/9/20, 6/10/20 and 10/11/20- this will include MOD quality awards
- 2 engineering QA functional events 20/5/20, 11/11/20
- MOD counterfeit awareness event 2/7/20
- Standards update
- AQAP 211 SRD1b, AQAP 2131 SRD1 and AQAP 2070 has been published
- Next DIQF meeting 11/6/2020

6.2   **Aerospace Sector - IAQG**

There was no update as the AAQG, RMC & SAE G-14 AAQSC Joint meetings scheduled for 9–12 March and the General Assembly meeting on 18-21 May had both been cancelled.

6.3   **EA Update**

The **E**A general Assembly that was due to be held in Luxemburg 14th & 15th May was cancelled.

- EA have suspended all physical committee meetings but are believed to be holding some meetings online
- A number of resolutions still were passed the most significant of note is that UK are no longer in the EU (UKAS 2 year arrangement)
- The CB community welcomed the EA statement on 23rd March 2020 on Remote Auditing - issued to all members

KB informed member that revised EA 6/03 (verifiers for compliance with EN/ISO 14065 Greenhouse gases) is close to publication.

6.4   **IAF Update**

- IAF mid-term meeting that was due to take place in Beijing during March was cancelled
- IAF meeting in Montreal planned for October/November had also been cancelled
- 30 day & 60 day comment periods continue and where possible some committee meetings are being held online
- CABAC meetings are being held frequently to address ongoing Remote Auditing, including Food Safety & Automotive
- IAF DMC (database management committee) continue to meet online every two weeks

KB also gave an update to members on the Task Force on Audit Time Rationalisation and that work is well underway (but still has a long way to go). There are 2 subgroups:

- The first has started to pull together a guidance on how to find your way through the existing range of time on site calculations/tables
- The other is fact finding for the bigger picture i.e. do we need to totally rethink the audit time process and are talking to other industries and sectors that need to consider site time and see how they deal with it

The plan is to have a guidance document by the IAF meetings in October, which will now probably be held online.

In addition, KB reported that UKAS are currently commenting on the draft for the revision to MD7 on Fraudulent Behaviour and that UKAS were not convince that Fraudulent Behaviour and general sanctions should be covered in a single document.

Having attended the MD7 meetings and already commented o the document WT suggested that this issue was down to scope creep as originally Fraudulent Behaviour was going to be a separate MD but IAF TC voted to combine it with the existing MD7.

6.5 **UKAS: PAF/PAC**

WT reported on the last PAC meeting held on 10th March 2020.

Non accredited Certification:

- UKAS have become a 'Primary Authority' with Trading Standards (via Surrey TS), enabling UKAS to be able to deal with a single Trading Standards body for all issues of organisations claiming AB status or on fraudulent certificates etc.
- BEIS being pro-active and engaged with organisations who claim to be an Accreditation Body

Brexit:

- UKAS are continuing to work with BEIS advising on future trade agreements
- BIES reaffirm UKAS as the UK AB

7.0 **UKAS**

7.1 **Remote Audit Q&A**

The Chair formally welcomed KB and SR and thanked them for the opportunity to hold the Q&A session on remote auditing. In all, just three questions were received in advance of the meeting,

7.1.1 **ISO 27006 and clause B.3.2 Remote audit states:**

If remote auditing techniques such as interactive web-based collaboration, web meetings, teleconferences and/or electronic verification of the organization's processes are utilized to interface with the organization, these activities should be identified in the audit plan (see 9.2.3) and may be considered as partially contributing to the total "on-site audit time. If the certification body develops an audit plan for which the remote auditing activities represent more than 30 % of the planned on-site audit time, the certification body shall justify the audit plan and obtain specific approval from the accreditation body prior to its implementation."

Could UKAS advise if there is a specific way (or even a current requirement) that a CB should submit a client specific request to UKAS should they intend to conduct a specific ISMS audit with greater than 30% of the audit time as remote auditing techniques?

We don't want to create an inefficient way to do this as it will cause extra work for both UKAS and CBs so if UKAS have an position on this issue that would be great – especially if there is clarity on how this may work after the outbreak is under control and on-site audits become the norm again.

TPS-73 is an "override" for UKAS existing UKAS publications, and IAF have good guidance as well but as the rules for accreditation for ISMS are published in ISO 27006 rather than an IAF document it is not clear if the "30% remote rule" is still strictly enforced during the Covid-19 outbreak

UKAS Response: *According to the IAF FAQ's IAF are permitting 100% audits. However, clarification is needed from IAF as it appears that MD4 is overriding the standard (ISO 27006), but this is only a special dispensation during the current situation.*

Whilst we await clarification from IAF, CB's must continue to carry out risk assessments to support their own decisions.

Considering the ongoing work with MD5 further thought would need to be given and this would also need to be considered by EA.

7.1.2   Reflecting at the current utilisation of remote assessments during the current pandemic, it has been a learning curve for all the industry on the additional techniques employed, and we can definitely see remote audits forming part of our deployment strategy for clients going forward, and of course where appropriate.

So, looking at the future strategy of UKAS in bringing remote assessments into scope for continuing maintenance of accreditation, it would be helpful to understand the proposed strategy for this utilisation, such as:

a). The parameters of suitability for different activities: head office visits; critical location visits; witnessed assessments etc.

b). What kind of split between remote and on-site activity should be expected, would remote activity be the preferred method as a starting point and only ruled out if not appropriate?

c). What would be the impact on costs for a CAB, for instance on international visits now undertaken remotely, or any impact on the audit duration affected by conducting a remote assessment?

UKAS Response: *Yes, a mix of many elements may be appropriate. UKAS has a project underway looking at the use of technology in assessments, and there is a planned conference (on-line) of the EA later this year in which the same subject will be debated, but it is likely that future assessments will utilise a mixture of methodologies according to the situation.*

7.1.2   Given UKAS have accepted that all their assessments are likely to be conducted remotely until at least October. How does this policy apply in respect to scope extensions?

Many new accreditations carry with them witnessed audit requirements. Will the witnessed audits associated with a scope extension be conducted remotely?

If not, this could cause significant commercial problems for CB's introducing new programmes.

UKAS Response: *In principle yes. Where a witness assessment is required, and is being done remotely, UKAS must be able cover all requirements by alternative methods.*

8.0   Opportunities

8.1   **Hackitt Review**

WT was please to inform members that he was representing ABCB on the following two committees:

MHCLG- BRAC Accreditation Working Group

- Help develop a framework for establishing consistent requirements for third-party certification schemes, and
- Help build industry consensus and determine the next steps to bring this work forward

Built Environment Competence Standards (BECS) Strategy Group

- First meeting held on May 21st
- Chaired by Dr Scott Steedman (BSI Director of Standards)
- The Working Groups consultation is largely complete, and a final report is due shortly (possibly June). The resulting report will then feed into the standard development
- The first iteration of the new British Standard (Specification) will be published by September 2020 for comment with further iterations planned for December 2020 and March 2021.
- The final British Standard should be published in March 2022.
- There will be three PAS documents developed for the regulatory roles;
  - Principal Designer
  - Principal Contractor
  - Building Safety Manager

8.2   **Rail Safety and Standards Board (RSSB)**

WT is advising RSSB on Accredited Certification, but this is at an early stage and could be delayed given the current restrictions.

8.3   **Association of Residential Managing Agents (ARMA)**

WT informed the members of a potential opportunity of working with ARMA in response to the challenge posed by Government in the Building a Safer Future, the Association of Residential Managing Agents (ARMA) are looking to ensure that their members have the necessary health, safety and fire organisation capabilities to ensure that the properties that they manage are and remain safe.

ARMA are looking to work with a suitable partner to develop a health, safety and fire safety accreditation certification for residential managing agents.

Although this is envisaged the system will be voluntary in the initial stages but may well become a mandatory part of the ARMA member accreditation process.

ACTION: email details to members.   WT

9.0   **Any other business**

9.1   **Raising the profile of ABCB Members**

WT showed the response from a recent post on LinkedIn promoting ABCB members 'keeping the wheels of industry turning by carrying out remote assessments to maintain customers certification' that had received around 2400 views.

9.2   **Online meeting Format**

JS felt that the online format had worked very well and appreciated the valued time saved by not having to travel. This was echoed by DD and KB.

10 .0   **Date and venue of next meeting**

Arrange the date for the next online meeting is 6th August 2020.