

International Accreditation Forum, Inc.



IAF Mandatory Document



**IAF Mandatory Document
for Advanced Surveillance and
Recertification Procedures**

Issue 1, Version 2

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The International Accreditation Forum, Inc. (IAF) operates programs for the accreditation of bodies that provide conformity assessment services. Such accreditation facilitates trade and reduces demand for multiple certifications.

Accreditation reduces risk for business and its customers by assuring them that accredited Conformity Assessment Bodies (CABs) are competent to carry out the work they undertake within their scope of accreditation. Accreditation Bodies (ABs) which are members of IAF and their accredited CABs are required to comply with appropriate international standards and IAF mandatory documents for the consistent application of those standards.

AB members of the IAF Multilateral Recognition Arrangement (MLA) conduct regular evaluations of each other to assure the equivalence of their accreditation programs. The IAF MLAs operate at two levels:

- A MLA for the accreditation of CABs to standards including ISO/IEC 17020 for inspection bodies, ISO/IEC 17021 for management systems certification bodies, ISO/IEC 17024 for personnel certification bodies and ISO/IEC Guide 65 for product certification bodies, is considered a framework MLA. A framework MLA provides confidence that accredited CABs are equally reliable in the performance of conformity assessment activities.
- A MLA for the accreditation of CABs that also includes the specific conformity assessment standard or scheme as a scope of accreditation provides confidence in the equivalence of certification.

An IAF MLA delivers the confidence needed for market acceptance of certification. An organization or person with certification to a specific standard or scheme that is accredited by an IAF MLA signatory AB can be recognized worldwide thereby facilitating international trade.

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Introduction to IAF Mandatory Documents

The term “shall” is used throughout this document to indicate those provisions which, reflecting the requirements of the relevant standard, are mandatory. The term “should” is used to indicate recognised means of meeting the requirements; a certification body can meet these criteria in an equivalent way provided this can be demonstrated to an accreditation body.

IAF Mandatory Document for Advanced Surveillance and Recertification Procedures

This document provides normative criteria for advanced surveillance and recertification procedures (ASRP) for consistent application of clause 9.1.1 of ISO/IEC 17021:2006 for determining subsequent adjustments to the audit program. This document addresses only Quality Management Systems (QMS) and Environmental Management Systems (EMS), in which IAF members have had experience of implementing ASRP or its predecessor methodologies. The use of ASRP is not mandatory, but if an accreditation body wishes to permit their accredited certification body and its client(s) to opt for the use of ASRP, it is a requirement of IAF that the certification body and its client(s) conform to this document and be able to demonstrate conformity to the accreditation body.

0. INTRODUCTION

- 0.1 For a client organization that has established confidence in its management system (QMS and/or EMS) by consistently demonstrating effectiveness over a period of time, the certification body, in consultation with the organization, may choose to apply the Advanced Surveillance and Recertification Procedures (ASRP) provided for in this document. Such an advanced surveillance and recertification program may place greater (but not total) reliance on the organization's internal audit and management review processes, include targeted surveillance topics, take into account specific design input from the organization and/or use other methods as appropriate, to demonstrate conformity of the management system.
- 0.2. The objective of this document is to assure the provision of more effective and efficient audits to organizations that have a proven performance record while at the same time maintaining the integrity of the accredited management system certificates they hold.
- 0.3. This document states minimum requirements for the application of the ASRP. Certification bodies may implement procedures or actions which are more stringent than those contained herein provided that an organization's justifiable request for the ASRP is not unduly or unfairly constrained.
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1. MINIMUM REQUIREMENTS

1.1 Prerequisite

In order to utilize the ASRP, the certification body shall first demonstrate to an IAF MLA signatory accreditation body:

a) That it has been operating an accredited certification scheme for the relevant management system (QMS and/or EMS) for a minimum of one complete accreditation cycle.

b) That it is competent to design an ASRP program for each individual organization in the relevant management system (QMS and/or EMS), in accordance with the requirements of ISO 9001:2000 clause 7.3 and using the design input criteria mentioned in clause 1.3.2 below.

NOTE: Reference is made here to ISO 9001 since this specifies the requirements for the certification body to design a program for ASRP regardless of whether it is operating certification of QMS or EMS.

1.2 Accreditation Scope

The competence of the certification body to meet clause 1.1 (b) above shall be assessed by the accreditation body after which, if successful, specific reference to the approval for ASRP for QMS and/or EMS, as appropriate, shall be included in the certification body's accreditation scope.

1.3 Eligibility and Design Input Criteria

The certification body shall inform the accreditation body prior to every new utilization of ASRP for each specific organization, and shall be able to demonstrate that the following criteria in clauses 1.3.1 and 1.3.2 have been satisfied:

1.3.1 Eligibility Criteria

a) The certification body shall confirm that the organization's management system has been in demonstrated conformity with the requirements of the applicable standard(s) for a period of at least one complete certification cycle including initial, surveillance and recertification audits.

NOTE: The certification body may base this confirmation of demonstrated conformity on the outcome of the first recertification audit (non-ASRP) of the organization conducted at the end of a three-year certification cycle.

b) All nonconformities raised during the certification cycle immediately prior to the utilization of ASRP shall have been successfully resolved.

c) For an EMS, the certification body shall confirm that the organization has established compliance with applicable legal requirements and has not had any sanctions imposed by the relevant regulatory authority(ies) for the period of a) above.

d) The certification body shall have agreed suitable performance indicators with the organization, on which to judge the ongoing effectiveness of the management system, and shall ensure that the organization is consistently meeting agreed performance targets.

- (i) For a QMS, these performance indicators shall address, as a minimum, the organization's demonstrated ability to consistently provide product that meets customer and applicable regulatory requirements (see ISO 9001:2000 clause 1.1), and shall incorporate requirements for the continual improvement of the effectiveness of the QMS.

NOTE: For a QMS, "indicator" means the characteristic to be measured and "target" means the quantitative/qualitative requirements to be met.

- (ii) For an EMS, these performance indicators shall address, as a minimum, the organization's demonstrated ability to achieve its environmental policy, objectives and targets and comply with applicable legal and other requirements related to its environmental aspects (see ISO 14001:2004 clause 4.3.2), and shall incorporate requirements for the continual improvement and prevention of pollution.

NOTE: For an EMS, "indicator" means the characteristic to be measured and "target" used in the context of performance target means the quantitative/qualitative requirements to be met, which is considered to be identical with "environmental target" as defined in ISO 14001.

e) The certification body shall have enforceable arrangements with the organization to provide for access to relevant information. For a QMS, this information is all customer satisfaction data collected or otherwise available. For an EMS, this information is all relevant communication from external interested parties, and in particular the relevant regulatory authority(ies). When it becomes necessary for the certification body to communicate directly with the source of such information in order to validate the information, mutually agreed confidentiality policies and procedures shall be applied.

f) The certification body shall verify that the organization's internal audit process is being managed in accordance with the guidance of ISO 19011, with particular reference to auditor competence defined in clause 7. The internal audit process shall be sufficiently coordinated and integrated so as to provide an evaluation of the management system as a whole, not only the performance of individual components.

g) The certification body shall have contractually enforceable arrangements to enable it to increase the scope, frequency and duration of its audits in the event of a deterioration of the organization's ability to meet agreed performance targets.

1.3.2 Design Input Criteria

In addition to organization-specific input criteria, the design of each individual ASRP shall address the following:

a) The frequency and duration of the certification body audits shall be sufficient to allow the certification body to conform with this criteria document including the following b) and c), among others.

For each proposed utilization of ASRP, the certification body shall determine the base level (non-ASRP) auditor time using relevant IAF Guidance or Normative Criteria Documents, and, if applicable, IAF MD 1 for sampling of multi-sites. If the certification body plans an individual ASRP program that reduces the auditor time to less than 70% of this base-level, the certification body shall justify such reductions and seek specific approval from the accreditation body prior to its implementation.

NOTE: IAF Mandatory Documents applicable to auditor time for QMS and EMS are under development. Until such documents become available, Annex 2 of IAF GD2 (and, where applicable, Annex 3) and Annex 1 of IAF GD6 (and, where applicable, clause G5.3.6) should continue to be applied to define the total audit time (Phase 1 + Phase 2).

b) In addition to auditing a statistically significant number of samples of the organization's management system processes to confirm the adequacy and effectiveness of the internal audit process, the certification body itself shall continue to carry out the following activities at each on-site surveillance and recertification audit, *as a minimum* (with other activities defined by the ASRP; see clause 1.4 below):

- interview top management and the management representative;
- evaluate management review inputs and outputs, including a verification of the organization's ability to meet the agreed performance targets;
- review the internal audit process, including the procedures and records of internal audits, and the competence of internal auditors; and
- review corrective and preventive actions plans, and verify their effective implementation.

c) The certification body shall ensure that all the requirements for accredited certification (including the requirements of ISO/IEC 17021:2006 and any applicable sector scheme) continue to be met.

1.4 Design Output

The design output for each application of the certification body's ASRP program shall include the following (a) – (f):

- a) The extent to which the certification body will utilize the organization's internal audit and management review processes to complement the certification body's activities;
 - b) Criteria for witnessing the organization's internal audits, including sampling of both auditors and processes to be audited;
 - c) Criteria for accepting and monitoring the competence of the organization's internal auditors and the method of reporting internal audit results;
 - d) Criteria for ongoing adjustments to the audit program, taking into account the organization's demonstrated ability over time to meet the agreed performance targets;
 - e) The components of the management system that will necessarily be audited by the certification body at each surveillance and recertification audit (see clause 1.3.2 b); and
 - f) Specific competence criteria for certification body auditors and, where applicable, for technical experts.
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1.5 Certificates

The certification body shall not differentiate between ASRP and non-ASRP methodologies on the certificates it issues.

End of IAF Mandatory Document for Advanced Surveillance and Recertification Procedures.

Further Information

For further Information on this document or other IAF documents, contact any member of IAF or the IAF Secretariat.

For contact details of members of IAF see - IAF Web Site - <<http://www.iaf.nu>>

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