Annex 5 - Advanced Surveillance and Reassessment Procedures (ASRP)

This annex provides guidance on clause 3.6 of ISO/IEC Guide 62. See IAF Guidance G3.6.8.

0. INTRODUCTION

0.1 For an organization that has established confidence in its QMS by consistently demonstrating the QMS effectiveness over a period of time, the certification/registration body, in consultation with the organization, may choose to apply the Advanced Surveillance and Reassessment Procedures (ASRP) provided for in this annex. Such an advanced surveillance and reassessment 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 QMS.

0.2. The objective of this guidance is to assure the provision of more effective and efficient assessment to organizations that have a proven performance record while at the same time maintaining the integrity of the accredited QMS certificates they hold.

0.3. The guidance states minimum requirements for the application of the ASRP. Certification/registration 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.

1. MINIMUM REQUIREMENTS

1.1 Prerequisite

In order to utilize the ASRP, the certification/registration body must first demonstrate to an IAF MLA signatory accreditation body for QMS:

1) That it has been operating an accredited certification/registration scheme for QMS for a minimum of one complete accreditation cycle.

2) That it is competent to design an ASRP program for each individual organization, in accordance with the requirements of ISO 9001:2000 clause 7.3 using the design input criteria mentioned in clause 1.3.2 below.

1.2 Accreditation Scope

The competence of the certification/registration body to meet 1.1 (2) above shall be assessed by the accreditation body after which, if successful, specific reference to the approval for ASRP shall be included in the certification/registration body's accreditation scope.

1.3 Eligibility and Design Input Criteria

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The certification/registration 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 1.3.1 and 1.3.2 have been satisfied:

1.3.1 Eligibility Criteria

a) The certification/registration body shall confirm that the organization's QMS 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 reassessment audits.

NOTE: The certification/registration body may base this confirmation of demonstrated conformity on the outcome of the first reassessment (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) The certification/registration body shall have agreed suitable performance indicators with the organization, on which to judge the ongoing effectiveness of the QMS, and shall ensure that the organization is consistently meeting agreed performance targets. 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 In this annex, "indicator" means the characteristic to be measured and "target" means the quantitative/qualitative requirements to be met.

d) The certification/registration body shall have enforceable arrangements with the organization to provide for access to all customer satisfaction data collected or otherwise available. When it becomes necessary for the certification/registration body to communicate directly with the source of such data in order to validate the data, mutually agreed confidentiality policies and procedures shall be applied.

e) The certification/registration 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 QMS as a whole, not only the performance of individual components.

f) The certification/registration 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.

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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/registration body audits shall be sufficient to allow the certification/registration body to conform with this Annex 5 including the following b) and c), among others.

For each proposed utilization of ASRP, the certification/registration body shall determine the base level (non-ASRP) auditor time using Annex 2 and, if applicable, Annex 3. If the certification/registration body plans an individual ASRP program that reduces the auditor time to less than 70% of this base-level, the certification/registration body shall justify such reductions and seek specific approval from the accreditation body prior to its implementation.

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/registration body itself shall continue to carry out the following activities at each on-site surveillance and reassessment visit, ***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;
- review corrective and preventive actions plans, and verify their effective implementation.

c) The certification/registration body shall ensure that all the requirements for accredited certification (including the requirements of ISO/IEC Guide 62 and any applicable sector scheme) continue to be met.

1.4 Design Output

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

a) The extent to which the certification/registration body will utilize the organization's internal audit and management review processes to complement the certification/registration body's activities;

b) Criteria for witnessing the organization's internal audits, including sampling of both auditors and processes to be audited;

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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 assessment program, taking into account the organization's demonstrated ability over time to meet the agreed performance targets;

e) The components of the QMS that will necessarily be assessed by the certification/registration body at each surveillance and reassessment visit (see 1.3.2 b));

f) Specific certification/registration body auditor competence criteria.

1.5 Certificates

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

End of IAF Guidance on the Application of ISO/IEC Guide 62

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