QuEST Forum Academy

The Presentation will start soon! There may be silence before we start.
Webinar will be 1.5 hours

To make Full Screen

For Q & A or CHAT, expand here or may auto-expand

For Q & A or CHAT select “All Panelists”

Phone icon identifies speaker
Globe icon identifies presenter

What challenges do you face in managing/governing your sustainability efforts?
Who is QuEST Forum?

Global community of Service Providers, Suppliers & Liaisons

Jointly create, develop and share quality management standards, best practices offerings and industry-leading resources

Develops & maintains TL 9000, an information and communication technologies (ICT) industry quality management system standard
QuEST Forum Members

Service Providers

Suppliers

Liaisons

Complete Member Directory
http://questforum.org/member/member_directory.html
What Is TL9000?

Created by the QuEST Forum

Globally recognized quality standard, designed to improve communications products: hardware, software and services

Built on ISO 9001 and its quality management principles

Includes requirements for continual improvement, customer satisfaction and reporting of industry standard measurements
• Offers value to members and prospective members by providing educational opportunities consistent with the intent of TL 9000 and the best practices introduced at QuEST Forum’s conferences.

• Provides a top-quality educational system that supports quality and process improvement focusing upon the needs of the ICT industry.
“Good standards writing is an essential component to meaningful assessment efforts. Similarly, standards writers are very aware that each word will be assessed by a multitude of assessors and users, each with different levels of comprehension.

Those who write standards are within a system that must trust those within conformity assessment as true loyalists; the standards writer is a link in a complex chain founded on mutual and equal understanding of the standard’s requirements.”
From the above url, you can:

- **Apply to join TAG 176**
- **Apply to join TAG 207**
- **Apply to join TAG 302**

For help with addressing a specific issue or question, email the ASQ Standards Team at standards@asq.org.
The Science Behind an Accredited Certificate

Natalia Larrimer
Agenda

- International organizations
- Accreditation
- Certification
- Putting it all together
- International Initiatives
Key Players

• International
  • Standards organization:
    • International Organization for Standization (ISO)
  • Accreditation cooperation:
    • International Accreditation Forum (IAF)

• Accreditation bodies (ABs)
• Conformity assessment bodies (CABs)
  • Certification body (CB) is type of CAB
    • CB also known as a registrar

• Certified organizations
• End users (the industry)
Conformity Assessment Bodies

Assess/Audit / Test for Competence

Standards

ILAC: Inspection Bodies and Laboratories
IAF: Product, Personnel and Management Systems Certification Bodies

Accreditation Bodies Accredit
Conformity Assessment Bodies

ABs (ISO/IEC 17011)
Lab, PT, RMP, and Inspection Accreditation

Labs, Inspection Bodies, RMPs, and PT Providers

ISO/IEC 17021, ISO/IEC 17024, and ISO/IEC 17065
Conformity Assessment Bodies and Product Certifiers

Persons, Product, Process, and System Certification Bodies

Develops Standards

ISO

ILAC

IAF
International
ISO

• International Organization for Standardization
• Independent non-governmental membership
• Develops and publishes international standards
• www.iso.org
ISO Member Countries

• Different levels of participation
• Provide experts
• Operate national mirror committees
ISO Standards

- Respond to market need
- Voluntary
- Consensus based
- Developed through multi-stakeholder process
- Regularly adopted as national standards with or without amendment
ISO Standards

• ISO does not develop standards for accredited certification

• ISO standards are used by the industry for accreditation or accredited certification

• ISO/CASCO - Responsible for development of conformity assessment standards
  • Standards used for accreditation
ISO and IEC

• “ISO/IEC” signifies standard developed by joint committee
  • ISO/IEC 17011 Conformity assessment -- Requirements for accreditation bodies accrediting conformity assessment bodies
  • ISO/IEC 27001 Information technology - Security techniques - Information security management systems - Requirements

• International Electrotechnical Commission (IEC)
  • Publishes international standards for electrical, electronic, and related technologies

• Joint development ensure standards “fit” together
  • www.iec.ch
Concept of “ISO Plus”

• Conformity Assessment system based on ISO standard framework plus additional criteria
  • Also referred to as scheme
  • per ISO/IEC 17000: CA system related to a specified object of conformity assessments to which same specified requirements, specific rules and procedures apply
  • Could be global, regional, national, sub-national
Concept of “ISO Plus”

• Criteria could apply to AB, CB, certified organization – or any two or all
• Need identified by specifier
• Examples:
  • QMS: AS9100, TL 9000
  • EMS: RC14001
  • FSMS: FSSC 22000
Industry Structure

Accreditation Body (AB) – ISO/IEC 17011

International Accreditation Forum (IAF)

AB membership organization

Multilateral Recognition Agreement

Certification Body (CB) – ISO/IEC 17021

Recognized by IAF and Signatory of MLA
Accredits CABs/CBs

Accredited by AB
Certifies organizations

Organization – Management Systems standard (e.g., ISO 9001)

Achieves (accredited) certification by CB to various standards

Customer
Industry
Government
Consumer
International Cooperations

• Global
  • International Accreditation Forum (IAF)
  • International Laboratory Accreditation Cooperation (ILAC)

• Regional
  • European Co-operation for Accreditation (EA)
  • InterAmerican Accreditation Cooperation (IAAC)
  • Pacific Accreditation Cooperation (PAC)

Similar intent and structure, differs in geographical coverage and/or scopes of recognition
Global Association of ABs and interested parties in fields of:

- management systems certification;
- product certification;
- personnel certification; and
- GHG verification.

www.iaf.nu
IAF

- Global forum for exchange of information and knowledge
- Framework of committees
- Links with other international organizations
- Publicly available operating procedures
IAF

- Manages Multilateral Recognition Arrangement (MLA)
- Sets implementation timelines for certification/accreditation criteria
  - MLA signatories must comply and as applicable provide progress report
  - Requirements/guidance on transition and implementation publically available
IAF Member Categories

• **Member:** MLA signatories and MoU members
• **Associate:** CAB and user associations (industry and scheme owners)
• **Regional cooperation**
• **Observer**
What is the MLA?

• Agreement among *Accreditation Bodies* for recognition of accreditations and certificates issued by CBs accredited by the signatories

• Comprised of Main Scope(s) and Subscope(s)

• Establishment of scopes and subscopes is governed by procedures
IAF MLA

- Subscopes under the ISO/IEC 17021-1 main scope
  - QMS – quality management systems
  - EMS – environmental management systems
  - FSMS – food safety management systems
  - MDMS – medical devices management systems
  - ISMS – information security management systems

- ABs can have more than one main scope, sub-scope
IAF MLA Signatories

• Evaluated and re-evaluated to ensure conformance to ISO/IEC 17011 and additional international requirements

• Recognized for specific scope (s) and sub-scope (s)

• Sublicense to accredited CBs use of IAF MLA mark
IAF MLA Signatories

- Submit application for each scope and sub-scope
- Evaluated for each scope and sub-scope
  - Document review
  - On-site office assessment
  - Witnessed assessment in each subscope
  - Corrective action process
Non-Signatory ABs

• May not operate in accordance with international requirements

• No assurance that CB oversight is conducted or understanding of CB's processes and competence

• Certifications issued have questionable value to the industry
Why does IAF matter?

- Provides:
  - Harmonization of best practice
  - Assurance that ABs are competent
  - Confidence that operation of ABs equivalent
  - Global uniformity in certification

- Facilitates global trade
• **Purpose:**
  • Develop global CA program that reduces risk for business and its customers by assuring *accredited certification* can be relied on

• **MLA Objective:**
  • *MLA will cover all ABs globally, eliminating need for duplicate accreditation or certification*

• **MLA Goal:**
  • *Accredited certification accepted and recognized by public and private industries*
Accreditation
Accreditation

• Independent assessment of conformity assessment bodies against recognized standards to ensure their impartiality and competence

• Provides assurance to CB's customers and industry that the CB continues to operate according to internationally accepted criteria
Accreditation Standards

- **ISO/IEC 17021-1** - Conformity assessment -- Requirements for bodies providing audit and certification of management systems -- Part 1: Requirements
- **ISO/IEC 17065** – Conformity assessment -- Requirements for bodies certifying products, processes and services
- **ISO/IEC 17024** – Conformity assessment -- General requirements for bodies operating certification of persons
- **Other**
Accreditation Body

- Authoritative body that performs accreditation
- Operates in accordance with international requirements
- Issues accreditation certificate for defined scope
Accreditation Body

- Assesses conformance of CABs with applicable accreditation requirements for defined scope of accreditation
  - ISO/IEC 17021-1 is base requirement document for management systems CBs
  - IAF Mandatory Documents
- Allows use of **accreditation symbol** by accredited CABs to indicate accredited status
Accreditation Process

Certification body (CB) application → Documentation review → Office assessment and witness stage 1 audit → CB provides evidence of correction and corrective action

If acceptable, witness stage 2 audit → Any non-conformances closed → Accreditation package and recommendation → Independent Accreditation Decision

CB notified and certificate is issued if approved → Annual office and witnessed audits → Reaccreditation audit as for initial certification

CB provides evidence of correction and corrective action
Assessment Covers

- Internal procedures of CB
- Effectiveness of process/system
- Competence of CAB personnel
  - Auditors for specific standard and (if applicable) sectors
- Certification process: audit planning, audit time calculation, and corrective action process
- Process for complaints, appeals, suspensions, and withdrawals
Maintenance of Accreditation

- Annual office assessments
- Maintenance witnessed audit
  - Each base standard
  - Sectors/codes as required
  - Various types of audits
- Independent decision
  - May include increased surveillance for cause
Accreditation Certificate

Accreditation
by the ANSI-ASQ National Accreditation Board is hereby granted to

[Certification Body Name]
[Certification Body Address]
[CB City, State Postal Code, Country]

as a certification body conforming to ISO/IEC 17021:2011 as of 04 December 2011 and ISO 9001:2008, for providing audits and certifications of management systems in accordance with the standards listed below.

<table>
<thead>
<tr>
<th>Standard</th>
<th>Accredited</th>
<th>Expiration</th>
</tr>
</thead>
<tbody>
<tr>
<td>ISO 9001</td>
<td>01 December 1997</td>
<td>31 December 2016</td>
</tr>
</tbody>
</table>

Use of the IAF MLA Mark approved as of 27 January 2010

Scope of organization's products, processes, and services for which the certification body is authorized to issue ANAB ISO 9001 accredited Certifications:

03 Food Products, Beverages and Tobacco
04 Textiles and Textile Products
05 Leather and Leather Products
06 Wood and Wood Products
07 Pulp, Paper and Paper Products

Countries in which the certification body has issued ANAB accredited certificates

United Kingdom
United States

Signed for ANSI-ASQ National Accreditation Board

Lori Gillespie, Vice President, ANAB
Certificate Number: [CB Name]-XXXXXXXX-123456
Certificate Issue Date: 12 April 2016
Accreditation is code-specific in some industries (e.g., FSMS, MDMS, QMS, EMS)

- Requirements in applicable documents
- Critical codes require witnessed audit prior to initial accreditation
- Non-critical codes may require witnessed audit

Subject to application, assessment, and decision

Identified on accreditation certificate
Unaccredited CB

• May not operate according to international requirements

• May offer a certificate without an audit or without any real understanding of organization's processes

• Certificates are of questionable value
Certification
Certification

- Third-party attestation related to products, processes, systems, or persons

- Examples of certification standards:
  - ISO 9001 (QMS), ISO 14001 (EMS), ISO 22000 (FSMS), ISO 13485 (MDMS), ISO/IEC 27001 (ISMS)
  - ISO-based certification for industry-specific programs (schemes) include AS9100, TL 9000
Certification Process

1. Review standard and conduct gap analysis to guide conformance activities
2. Conduct internal assessment and management review
3. Contact potential certification bodies (CBs) and ensure they’re accredited
4. CB conducts document review and site visits and audits organization for effective conformance to standard
5. Audit may result in nonconformances (NCRs) and/or opportunities for improvement (OFIs)
6. CB may not consult or provide solutions
Accredited Certification

• Carried out in accordance with internationally accepted requirements
• Builds confidence and reduces risk for consumers
• Facilitates global trade
• Eliminates cost associated with multiple certifications
• Provides access to increase number of bids that mandate accredited certification
• Produces an Accredited Certificates
Accredited* Certificate

CERTIFICATE

[CERTIFICATION BODY NAME]

[CB Logo]

Hereby certifies that

Certified Company
Certified Company Street
CB City, WI 53208 USA

has established and maintains a quality management system for the

Design, Manufacture and Distribution of CB’s Products

An audit was performed and documented in Report No XXXX. Proof has been furnished that the requirements according to

ISO 9001:2008

are fulfilled. Further clarification regarding the scope of this certificate and the applicability of ISO 9001:2008 requirements may be obtained by contacting [CB].

Certificate Registration No.

XX XXXX XXXX

Certificate Issue Date
May 12, 2015

ANAB

Certificate Expiration Date
May 11, 2018

Revised 6/13/2015
Certification Decal 4/8/2015
IAF

Certification of Management Systems

*Includes AB logo
and
IAF mark
Referencing ISO

• ISO does not issue certification
  • Use of ISO-certified, ISO-registered, or ISO-compliant – Not Allowed
  • Use ISO logo - Not Allowed

• Must use full reference in referring to ISO standards (e.g., ISO 9001:2015)
Putting It All Together
Accredited Third-party Testing/Inspection/Certification (ISO Model)

- Widely used process and rules in other industries
- Transparency
- Recognition (Int’l)

IAF/ILAC

AB
Accreditation Body

ISO
Int'l Standards Org

Adds:
- International assessment rules
- Accreditation Bodies
- Inspection Bodies or Testing Laboratories

Lab/IB/CB

Site or Product
Accredited Third-party Testing/Inspection/Certification

- Scheme (From Industry)
- ILAC/IAF
- ISO (Int'l Standards Org)
- Accreditation Body (AB)
- Laboratory/Inspection/Certification Body (Lab/IB/CB)
- Site or Product

Within the Scheme:
- Lab Accreditation
- Inspection Accreditation
- QMS Accreditation

Adds To ISO Model:
- Rules for mgmt/delivery of standard
- Scheme accountability

✓ Benchmarking of schemes
✓ Requirements for schemes & auditors
✓ Consistent delivery
✓ Accountability of scheme owners
✓ Multi-stakeholder approach
✓ Acceptance by industry
Process Summary

• IAF evaluates AB and recognizes AB for specific scope
• AB accredits CB for specific scope [standard (e.g., ISO/IEC 17021-1), scope (e.g., ISO 9001), and code/category if applicable]
• CB certifies organization for specific standard
• End User relies on the accredited certificate
Evaluator/Assessor/Auditor

- Industry experience
- Successful completion of training course
- Initial supervision
- Process for competence
- Appropriate skills and knowledge
- Ongoing monitoring and training
Independence and Impartiality

• Decision on AB recognition, CB accreditation or organizational certification
• Assignment of personnel
• Process to address complaints
• Process for appeals
• Prohibition of Consulting
Failure to Comply

- At any level, failure to comply with requirements can result in loss of status:
  - AB: Suspension, loss of **signatory status**
  - CB: Suspension or withdrawal of **accreditation**
  - Certified organization: Suspension or withdrawal of **certification**
Why does it matter?

• IAF recognized accreditation provides assurance that all organizations involved are competent and conform to the applicable international standards

• Industries and governments increasingly rely on IAF recognized accredited services
Questions to Ask

- Is CB that issued certificate accredited for scope of certification?
- Is accreditation from AB signatory to IAF MLA for applicable scope, if one exists (e.g., QMS, EMS, FSMS)?
- Is CB, AB, or certified organization under suspension?
  - Verify status at IAF, AB, or CB website
  - Contact details and effective date
IAF Recognized Accredited Certification

COMPETENCE

INTERGRITY

IMPARTIALITY

INDEPENDENCE
IAF Initiatives
Eliminating Confusion

- All certificates issued by **accredited CBs in scopes** for which they are accredited, must be **accredited certificates**
  - CBs must transition certification documentation by November 6, 2019
  - Applicable to all MS standards
Simplifying Certificate Verification

- IAF database of accredited MS certifications
- Principles approved by the membership
- Business Case is being developed
- Direct support to Sheronda Jeffries, IAF Director representing Users and Industry
  sjeffrie@cisco.com
Questions?

Natalia Larrimer
ANSI-ASQ National Accreditation Board
nlarrimer@anab.org
www.anab.org
To suggest potential topics and presenters for QuEST Forum Academy, please visit


to download a Project Submittal Form. Email the completed form to QFAsubmittal@questforum.org.
Does your company operate in the ICT space? Are you a QuEST Forum member? If not, sign up today and reap the immediate benefits of membership.  
http://www.questforum.org/join/ 

For additional information, please visit:  
www.questforum.org  
www.tl9000.org
Thank you for participating in the QuEST Forum Webinar

You will be directed to a survey and your feedback is appreciated.