


INTERNATIONAL ACCREDITATION SERVICE®


IAF MD 12: 2016
Accreditation Assessment of Conformity Assessment Bodies with Activities in Multiple Countries

Introduction



- This MD is mandatory for the application of Clause 7 of ISO/IEC 17011 regarding an assessment of Conformity Assessment Bodies (CAB)'s that provide certification in countries outside the country in which their head office is located.
- Clauses 7.5.7 and 7.5.8 of ISO/IEC 17011 prescribe requirements for Abs assessment of locations from which key activities are performed. Key activities are defined in IAF/ILAC A5 Clause 7.5 which include:
 - Policy formulation;
 - Process and/or procedure development;
 - Initial approval of auditing personnel, or control of their training;
 - On-going monitoring of auditing personnel;
 - Assignment of auditing personnel;
 - Control of surveillance or recertification audits;
 - Final report review or certification decision or approval.
- AB's responsibility for establishing that all of the CAB's activities, within its scope of accreditation with that AB, not only key activities, conform to all requirements of the relevant conformity assessment standards, irrespective of where in the world these activities are performed.
- This document takes account of the fact that some activities may not be performed at fixed office locations, but by remote personnel using the CAB Information Technology (IT) system.

Requirements



Data Collection :


The AB shall require its accredited CAB's to identify:

- Countries into which accredited certificates are issued and the number of certificates issued in each country;
- Countries in which the CAB operates from a fixed office location that performs any certification activities;
- Countries in which the CAB has remote personnel that perform any certification activities;
- Which fixed office locations are responsible for performing and/or managing key activities or from where remote personnel performing key activities are managed;
- The CAB's arrangements for managing all activities that are performed from a foreign fixed office location or by remote personnel.

Assessment Program :

The AB shall have an assessment program, covering the current accreditation period irrespective of where certification activities are performed.


Requirements



The program shall be developed to identify the activities and key activities to be assessed and the countries where these are performed and/or managed, taking account of the following:


- i) The relationship between the CAB and its foreign entities and subsidiaries.
- ii) The CAB's arrangements for managing its foreign certification activities.
- iii) Whether the CAB holds accreditation from the local AB.
- iv) The number of fixed office locations, undertaking certification activities, in each country.
- v) The number of remote personnel, undertaking certification activities, in each country.
- vi) Where key activities are performed and managed or from where remote personnel performing key activities are managed.
- vii) The range of certification activities performed, where they are performed and from where remote personnel are managed.
- viii) The effectiveness of the CAB's management controls of its certification activities.
- ix) The accessibility of the CAB's records.

Requirements




- x) The availability of selected CAB personnel (internal and external) for interview.
- xi) The number of certificates issued through a particular fixed office location.
- xii) Schemes for which certification is granted through a particular fixed office location.
- xiii) Where a fixed office location manages other fixed office locations or remote personnel outside of their national boundaries.
- xiv) The number of different countries covered by remote personnel and how they are managed.
- xv) The risks posed by the activities performed and/or managed and where they are performed and/or managed (Note: these may be non-key activities).
- xvi) The capability of the AB to conduct remote assessments.
- xvii) Social and cultural aspects of each country.
- xviii) The number and type of complaints.
- xix) The effectiveness of the CAB's oversight in controlling its foreign certification activities, including internal audits it performs on fixed office locations, and
- xx) Where there is evidence of malpractice, such as misrepresentation by sales personnel, inappropriate relationships with consultants or ineffective oversight by the CAB.

Requirements



- The AB's assessment program shall be reviewed annually.
- The assessment program should include provision for interviews with a representative sample of the CAB's personnel (internal and external).
- Remote assessment can be utilised instead of conducting on-site assessments, provided the outcomes of such assessments are equivalent to those of on-site assessments.

Requirements




Initial Assessment :

- The initial assessment of the CAB shall include assessment of all fixed office locations, where key activities are performed and/or managed.
- The initial assessment shall also include assessment of selected fixed office locations, where other activities covered by the requirements of the relevant conformity assessment standard(s) are performed.
- For extensions of scope, the AB shall determine an assessment program taking account whether the extension is for a new main scope, a new sub-scope or within an accredited sub-scope. The assessment program does not necessarily need to include visits to each fixed office location.

Surveillance and Reassessment :

- For surveillance and reassessment, each fixed office location, at which key activities are performed and/or managed or from which remote personnel performing key activities are managed and/or records are maintained, shall be assessed at least once in each accreditation cycle.

Requirements



- The AB shall have the procedure for sampling fixed office locations, including remote personnel.
- The procedure shall ensure that a representative number of these locations are assessed within a defined timeframe.

Thank you!

