

EXERCISE 05
NON-CONFORMITIES – OBSERVATIONS

Delegates are required to study the following audit scenarios against ISO 17021-1 and indicate whether there is a CAR, Concern or Comment in them.

For CAR;s, delegates are required to fill in the IAS CAR Report.

For Concerns or Comments, they are required to explain what additional information they would look for, in order to investigate the issue and against what standard clauses this evidence would be sought for.

Incident 1

The accreditation assessor asks for the Certification Body's Non-Conformity Record. The auditee answers that all NCs are immediately documented. The assessor asks what actions are undertaken to eliminate the causes of the NCs. The auditee answers that the Organisation's General Manager is informed and he handles each one individually. Also, he is not sure whether any specific record for NC causes is kept.

Incident 2

The accreditation assessor asks for the files for customers who have been certified against ISO 22000:2005. The following data are included in these files:

Auditee	Number of employees	Man-days of Conducted Audit
Taco House Restaurants	550	4
Good Foods Inc.	44	1
Jumbito Candy Makers	96	2
National Beer Inc.	457	2
HOPE Dairy Products	109	2
ABC Logistics	34	1

Asked by the Assessor, the auditee answered that the man-days of the conducted audits include both the documentation review and the on-site assessment.

Incident 3

The accreditation assessor asks how often the Impartiality Committee meets. The Organisation's General Manager replies that based on the organisation's procedures, the annual review of certification decision has been assigned to the Organisation's General Manager, therefore it is not necessary for the Impartiality Committee to meet frequently. Based on the organisation's records, the last Impartiality Committee met 18 months ago, while there is no documented procedure or decision that identifies the frequency of Impartiality Committee meetings. However, procedure P23/1 indeed states that the annual review of certification decision has been assigned to the Organisation's General Manager.

Incident 4

The accreditation assessor asks how the Certification Body assesses its auditors. The organisation's Quality Manager answers that this is not necessary, because all auditors are already certified by an accredited by IAS, to ISO/IEC 17024, personnel certification body. The assessor reviews the employee records and verifies that the organization's auditors are indeed certified by an accredited by IAS, to ISO/IEC 17024, certification body.

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The accreditation assessor asks to see the files for the organisation's customers that have been certified against ISO 9001:2015. From these files, he gathers the following data:
During the Audit of the company Good Foods S.A., 3 NCs were identified relating to the control of documents and 2 relating to the failure to apply special quality control procedures to produced food. The company was certified against ISO 9001, having first sent an email to the Certification Body with objective evidence for closing out these NCs in May 2016.

Incident 6

The accreditation assessor asks how the Certification Body selects the members of its Impartiality Committee (IC). The Quality Manager answers that this is the responsibility of the Board of Directors and that only prominent members of the food industry are selected as members. The assessor seeks the appointment of IC members from their respective bodies. The Quality Manager answers that this was not considered necessary, as everyone knows who they represent. The regulation for the operation of the IC mentions that IC members are selected by the organisation's BoD.

Incident 7

The assessor asks for the list of IC members from the CERTIFIC Certification Body, which is the following:

No:	Name:	Title:	Position in the CC:
1	John Smith	CERTIFIC General Manager	Chairman
2	Daniel Craig	Ministry of Health Officer	Vice-Chairman
3	Michael Crawford	FDA Officer	Member
4	Paul Miller	University Professor	Member
5	Lesley Friday	State food inspector	Member
6	Evangeline Lily	State regulatory office representative	Member
7	Sean McLaughlin	Consumer Protection Agency representative	Member

According to the IC regulation, decisions are reached by a simple majority of members present and in the case of a split vote, the Chairman's vote is accepted as final.

Incident 8

Procedure P100/1 of the audited Certification Body mentions that the technical competence of the audit team should be ensured through the use of at least one of the organisation's auditors, who has been approved as competent for a specific scope or by using external technical experts. When studying the customer files, the accreditation assessor detects that during surveillance audits, approved auditors or technical experts are not always used. The Quality Manager mentions that procedure P100/1 is mainly used for initial audits, but it may not always be applied to surveillance audits, as long as the audit-days for surveillance audits are limited. He added that the Certification Body always uses very experienced auditors during the surveillance audits.

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The accreditation assessor asks to see the Procedure of the audited Certification Body on the selection and assessment of technical experts used in the audits where the organisation may not use specialised auditors. The organisation's Manager answers that such a procedure is not required by ISO 17021-1 and that he is not willing to add unnecessary bureaucracy to his system.

Incident 10

The accreditation assessor asks to see the audit report of GEX LTD which was certified one week ago against ISO 14001:2015. The Quality Manager answers that this report is still with the Lead Auditor who conducted the audit, because due to his heavy workload, he did not have the time to type it and send it to GEX LTD.

Incident 11

When assessing the organizational structure of XYZ CB, the accreditation assessor learns that XYZ CB is not a legal entity, but is a division of XYZ Holdings which is a legal entity. XYZ Holdings has also a wholly-owned subsidiary called XYZ Training and Consulting, which is a legal entity.

Incident 12

XYZ CB has an agreement with J&Y Consulting to use its consultants as auditors. XYZ CB assures that it does not ever assign an auditor employed by J&Y Consulting to audit a client consulted by J&Y Consulting.