


INTERNATIONAL ACCREDITATION SERVICE®


IAF Mandatory Documents – MD 3:2018
(Advanced Surveillance and Recertification Procedures- ASRP)

Introduction



- ASRP can be applied on the client consistently demonstrated the effectiveness of system (QMS and/or EMS) over a period of time.
- ASRP may place greater (but not total) reliance on the organization's internal audit and management review processes, include targeted surveillance topics, specific design input and/or use other methods to demonstrate conformity of the management system.
- Objective is to have effective and efficient audits on clients with proven performance maintaining the integrity of the accredited management system.
- The requirements stated are minimum. CB's may choose more stringent procedures.


Minimum requirements



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


- a) Operating an accredited certification scheme for the relevant management system (QMS and/or EMS) for a minimum of one complete accreditation cycle.
- b) The CB is competent to design an ASRP program for each individual organization.

Requirements...




- **Accreditation Scope**
The competence of the CB shall be assessed by the AB and if found competent, specific reference of approval shall be included in the certification body's accreditation scope.
- **Eligibility and Design Input Criteria**
The CB shall inform the AB prior to every new utilization of ASRP for each specific organization, and shall be able to demonstrate that the eligibility criteria have been satisfied:
- **Eligibility Criteria**
 - a) The CB shall confirm that the organization's management system has been in compliance demonstrated for a period of at least one complete certification cycle including initial, surveillance and recertification audits.

Requirements...




- b) All nonconformities before ASRP has been successfully resolved.
- c) For an EMS, the CB shall confirm that the client is in compliance with applicable legal requirements and has not had any sanctions imposed by the relevant regulatory authority(ies) for the period of one complete cycle.
- d) The CB shall agree suitable performance indicators with the organization and ensure that the organization is consistently meeting agreed performance targets .
- (i) For a QMS, the indicators shall cover , as a minimum, the organization's demonstrated ability to consistently provide product that meets customer and applicable regulatory requirements , and shall incorporate requirements for the continual improvement of the effectiveness of the QMS.

Requirements...



- (ii) For an EMS, the performance indicators shall address, 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 , and shall incorporate requirements for the continual improvement and prevention of pollution.
- e) The CB 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, including regulatory authority(ies).
 - If CB wants to communicate directly with the source to validate the information, mutually agreed confidentiality policies and procedures shall be applied.
- f) The internal audit process to be managed in accordance with the guidance of ISO 19011, with particular reference to auditor competence.
- g) The CB shall have contractually enforceable arrangements to increase the scope, frequency and duration of its audits if the organization's fails to meet agreed performance targets.

Requirements...




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 CB audits shall be sufficient to allow the certification body to conform with this criteria document including the following 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.

Requirements...



- b) In addition to auditing a statistically significant number of samples 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;):
 - 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 continue to be met.

Requirements...



Design Output :

The design output for each application of the certification body's ASRP program shall include the following:

- a) The extent to which the CB 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 and
- f) Specific competence criteria for certification body auditors and, where applicable, for technical experts.

Certificates :

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