

# **QuEST Forum Academy**



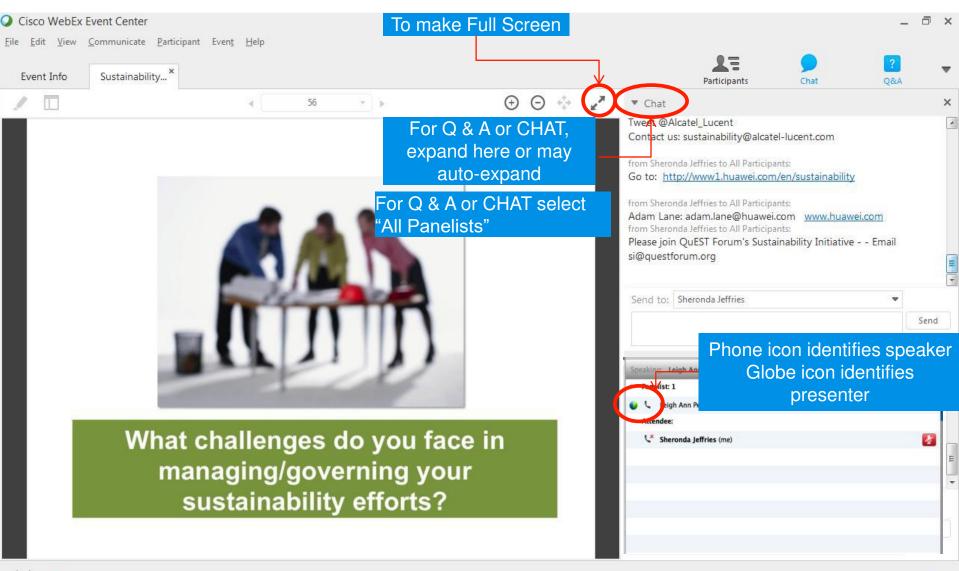
The Presentation will start soon! There may be silence before we start.

#### Webinar will be 1.5 hours

Recording...



Connected @



#### Who is QuEST Forum?



Performance Excellence through
Global Telecommunications



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**

Alcatel·Lucent (

#### **Service Providers**























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#### **Suppliers**



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**ERICSSON** 















### 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

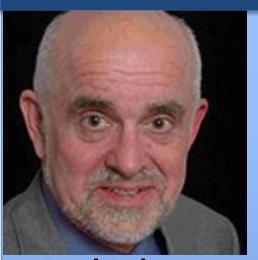


#### **QUEST FORUM ACADEMY**

•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.





Paul Palmes
Chair
US TAG to ISO TC 176

"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."

#### To learn more about US TAG to TC 176

http://asq.org/standards/standards-101-index

#### 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.

#### How does a TAG relate to standards development?

A Technical Advisory Group (TAG) is a group of experts in a particular field. TAGs are actively involved in the creation of international standards. Their primary purpose is to develop and transmit the U.S. position on activities or draft standards of the appropriate ISO or IEC technical committees.

All TAG members attend two standards meetings in their country. Some TAG members also attend international meetings as U.S. delegates. At international meetings, documents that members hope will result in international standards are conceived, written, revised, distributed for review, revised again, and eventually submitted for publication.

Participation in a TAG is an opportunity for various U.S. stakeholders to help shape international standards that will influence how they do business globally. Participants have devoted many years to becoming experts in their fields and have a tremendous responsibility to protect their countries' trade and commercial interests.

TAGs are accredited by ANSI and must follow ANSI procedures, including the Model Operating Procedures for U.S. Technical Advisory Groups to ANSI for ISO Activities.

ANSI has delegated the administration of these Technical Advisory Groups (TAGs) to ASQ:

- . ISO/TC 176 on quality management
- · ISO/TC 207 on environmental management
- . ISO/TC 69 on statistical applications
- ISO/TC 279 on innovation management
- ISO/PC 302 on auditing management systems

Anyone with a material interest in the work of a particular TAG is welcome to participate.

#### WHAT DOES THE U.S. TAG TO ISO/TC 176 DO?

In the United States, TAG 176 develops the U.S. positions on ISO/TC 176, which covers quality management and quality assurance.

Delegates selected by the TAG actively participate in all activities of ISO/TC 176, including the development of ISO standards in quality terminology, quality systems, and quality technology. Participation in TAG 176 provides an opportunity for representatives of all affected U.S. constituencies (industry, commerce, education, etc.) to influence the development of international quality standards, which have become a foundation of international trade.

The vision of ISO/TC 176 is that through worldwide acceptance and use, the ISO 9000 family of standards will provide an effective means for improving the performance of individual organizations. This, in turn, will make people and organizations more confident that goods and services will meet their expectations, thereby enhancing trade, global prosperity, and individual well-being.

Apply to join TAG 176 (DOC).

#### WHAT DOES THE U.S. TAG TO ISO/TC 207 DO?

In the United States, the TAG to ISO/Technical Committee (TC) 207 (TAG 207) develops the U.S. positions on ISO/TC 207 on environmental management. The TAG also administers ballots associated with ISO/TC 207.



# The Science Behind an Accredited Certificate

**Natalia Larrimer** 













# Agenda

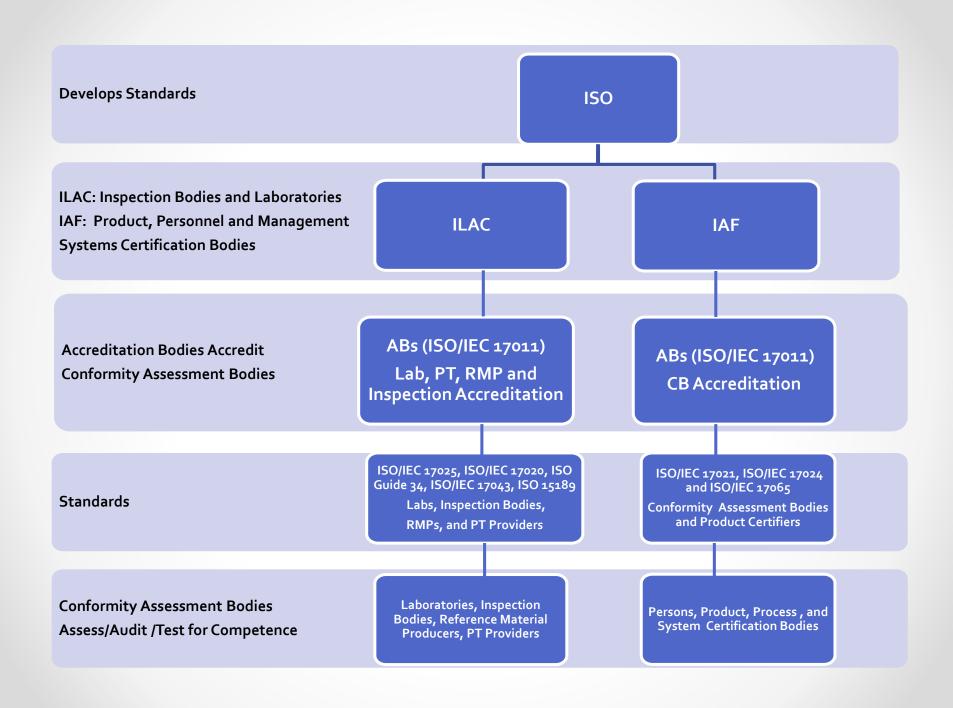
- International organizations
- Accreditation
- Certification
- Putting it all together
- International Initiatives



# **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)







# 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**

Certification Body (CB) – ISO/IEC 17021 Organization – Management Systems standard (e.g., ISO 9001)

Customer Industry Government Consumer

Accreditation Body (AB) – ISO/IEC 17011

Accredited by AB

Certifies organizations

Achieves (accredited) certification by CB to various standards

International Accreditation Forum (IAF)

Recognized by IAF and Signatory of MLA

**Accredits CABs/CBs** 

AB membership organization

Multilateral Recognition Agreement

# 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



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



- 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

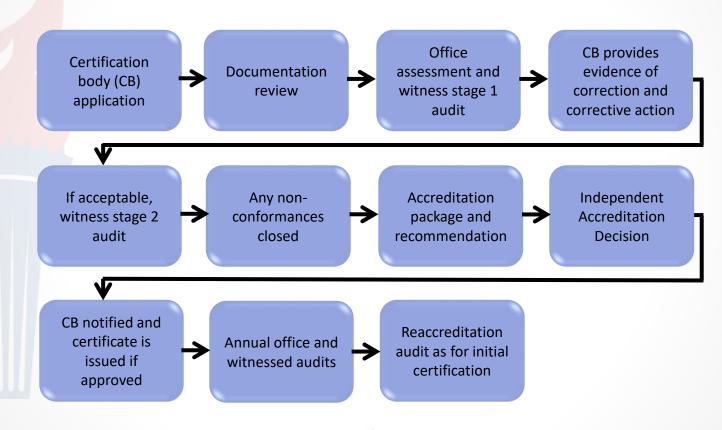


## **Accreditation Body**

- 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**





### **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.

Standard ISO 9001 Accredited

01 December 1997

Expiration

31 December 2016

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

Scope of organization's products, proce<mark>sses, and s</mark>ervices for which the certification body is authorized to issue ANAB ISO 9001 accredited Certifications:

- 3 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

Scopes are broad classifications which may include business activities for which a certification body's competence has not been demonstrated. The certification body is expected to make this clear to its own personnel and to potential customers, and to accept applications for certification only for those activities for which the certification body has the competence.

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



## IAF and Industry Codes

- 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



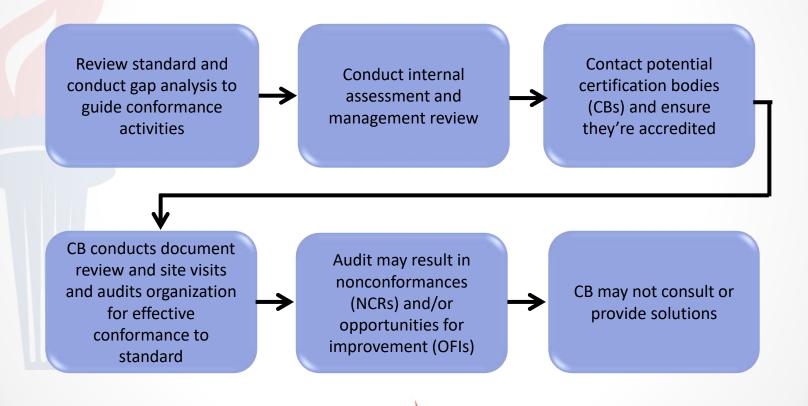
### Certification

 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-<u>based</u> certification for industry-specific programs (schemes) include AS9100, TL 9000



### **Certification Process**



### **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**

#### **GERTIFICATE**

[CB Logo]

[CERTIFICATION BODY NAME]

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 XXX XXXX

Certificate Issue Date May 12, 2015



Certificate Expiration Date May 11, 2018

Revised 6/19/2015 Certification Decision 4/6/2015



Certification of Management Systems

\*Includes **AB logo** and **IAF mark** 

## Referencing ISO

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

 Must use full reference in referring to ISO standards (e.g., ISO 9001:2015)

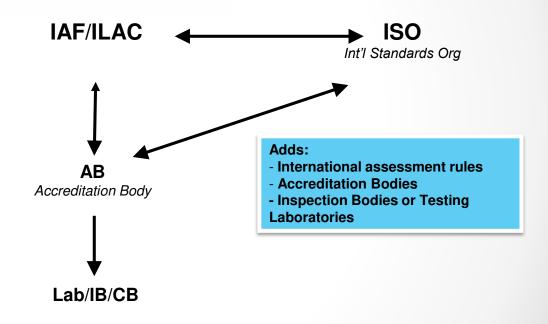


## Putting It All Together



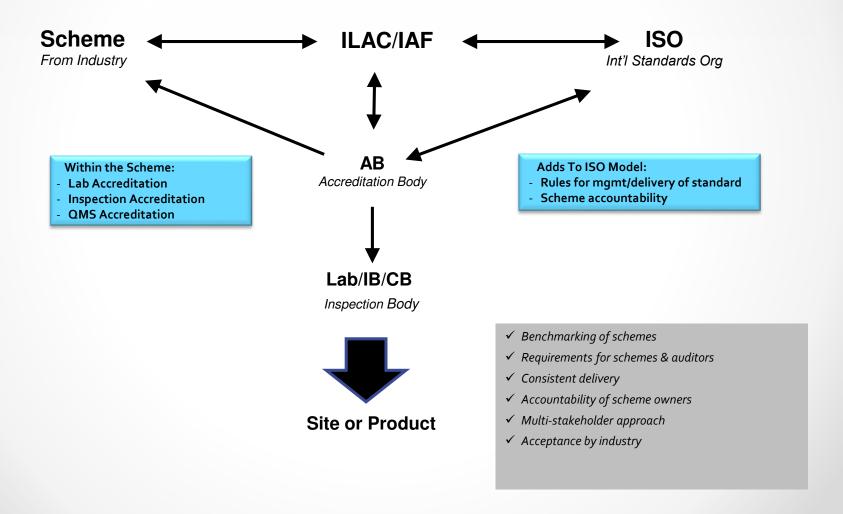
# Accredited Third-party Testing/Inspection/Certification (ISO Model)

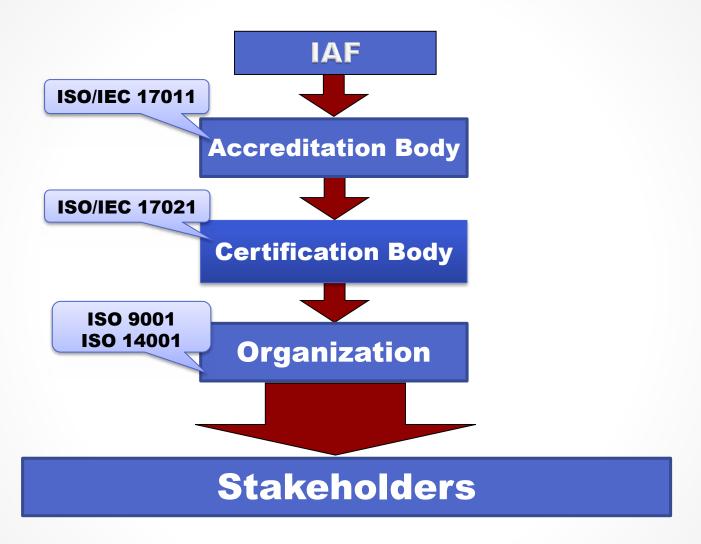
- ✓ Widely used process and rules in other industries
- ✓ Transparency
- ✓ Recognition (Int'l)





## Accredited Third-party Testing/Inspection/Certification





## **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

**COMEPETENCE** 

**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



## QuESTions & Answers





## **QuEST Forum Academy**

To suggest potential topics and presenters for QuEST Forum Academy, please visit

http://www.questforum.org/news-events/quest-forumacademy-webinars/

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.

<a href="http://www.questforum.org/join/">http://www.questforum.org/join/</a>

#### For additional information, please visit:

www.questforum.org www.tl9000.org







Raising Standards, Bridging Technologies, Building Value

## Thank you for participating in the QuEST Forum Webinar

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