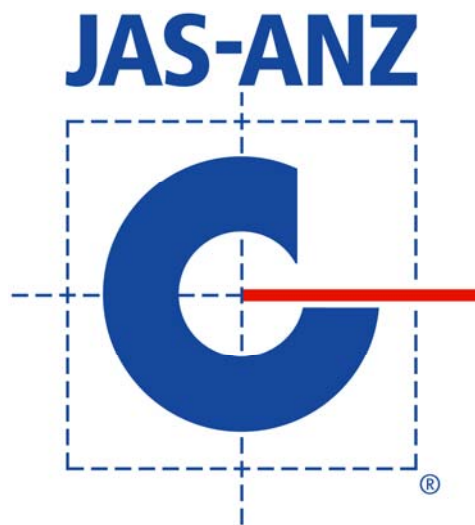


Joint Accreditation System of Australia and New Zealand

POLICY NUMBER 07/09



Extending the scope of accreditation to include additional, critical locations (local and foreign), locations (local and foreign) and foreign countries.

1. OBJECT AND FIELD OF APPLICATION

- 1.1 This document contains the policy on extending the scope of accreditation to include additional, critical locations (local and foreign), locations (local and foreign) and foreign countries which will ensure that the integrity of JAS-ANZ accreditation is maintained.
- 1.2 This policy covers all JAS-ANZ schemes.
- 1.3 This policy shall remain current until otherwise advised.

2. REFERENCES

- A. ISO/IEC 17011 – General requirements for accreditation bodies accrediting conformity assessment bodies.
- B. IAF GD 3 – IAF Guidance on Cross Frontier Accreditation
- C. AS/NZS 4360 – Risk Management

3. BACKGROUND

- 3.1 This policy was originally issued as Policy 4/08, the content of which was incorporated into JAS-ANZ Procedure 5 Issue 10 dated 25 May 2009. However when the content was incorporated into Procedure 5, the expiry date of the transition period was lost, thus requiring the Policy to be reissued. Apart from this paragraph and paragraph 4.4, the content of this policy is the same as Policy 4/08. Paragraph 4.4 has been amended to broaden its applications to all schemes, so as to be consistent with Clause 1.2 above.
- 3.2 With the introduction of IAF GD 3, JAS-ANZ has been required to record the countries in which each certification body (CB) issues JAS-ANZ accredited certificates, including:
- 3.2.1 Countries into which accredited certificates are issued directly from the CBs head or other offices; and
 - 3.2.2 Countries in which the CB operates from local offices, whatever the legal relationship of such offices with the parent CB.
- 3.3 In addition to the above, JAS-ANZ was required to establish which foreign locations were deemed to be ‘critical’ and to ensure that the foreign critical locations were visited before the end of December 2007, which was realised.
- 3.4 A critical location is a location where one or more of the following activities are undertaken:
- 3.4.1 the process for initial qualification, training and ongoing monitoring of auditors and assessment personnel records; or
 - 3.4.2 the application review, the assignment of assessment personnel, and/or review of the final report; or

Extending the scope of accreditation to include additional, critical locations (local and foreign), locations (local and foreign) and foreign countries.

- 3.4.3 the certification/registration decision based on the final review of the assessment report.
- 3.5 The process adopted by JAS-ANZ in 2004 required the Secretariat to initially gather and record the information and also implement a process which would ensure that this information is maintained up to date. Part of the process to ensure that the information is being kept up to date was to block the ability of CB to include certificates on the JAS-ANZ register if the CB did not have the particular country included in their scope of accreditation, which seems to have been reasonably effective.
- 3.6 As you might imagine, JAS-ANZ receives many requests for extensions to scope ranging from adding countries into which accredited certificates are issued to foreign critical locations to adding a location from which a number of activities are managed. To date, those extensions to scope that require the addition of a country or location have been approved by the Director Technical Services (DTS), and those that request the addition of a critical location (foreign or local) have been passed onto the Accreditation Review Panel (ARP) for their consideration and decision.
- 3.7 IAF GD 3 Clause 2.3.2 requires CBs to have documented procedures that demonstrate to JAS-ANZ that the critical location is set up in such a way as to meet accreditation requirements before the CB is authorised to issue accredited certificates from that location.
- 3.8 Even though CBs have been required to have procedures for the establishment of critical locations, JAS-ANZ has encountered some real problems with CBs moving into emerging markets e.g. India and Turkey, suggesting that the procedures are not as effective as they should be. CBs are requesting extension to their scope into countries where the Transparency International Corruption Index is very low e.g. Uzbekistan 1.6. to 1.9, Sudan 1.6 to 1.9, and JAS-ANZ does not have any criteria to judge these applications against.

4. POLICY

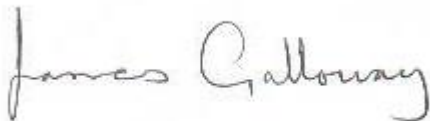
- 4.1 Conformity assessment bodies intending to extend their scope into other countries, either through the establishment of a location or issuing accredited certificates into that country shall develop procedures which describe the body's risk management process for extending the conformity assessment body's geographical presence under JAS-ANZ accreditation. Geographical presence includes; additional critical locations, locations and countries into which JAS-ANZ accredited certificates maybe issued. The type of structure/relationship is irrelevant, i.e. whether it is a wholly owned subsidiary or branch office, to a contracted or subcontracted individual or body.
- 4.2 The procedures should be based on AS/NZS 4360, and shall require a monitoring and review period of not greater than 12 months. Risks to be considered, but not limited to, shall include the following, where relevant: using consultants in certification activities, contracted or subcontracted individuals are fit and proper people, corruption, language, ability to subcontract, use of competent individuals, maintenance of compliance with accreditation criteria, coverage of liabilities, relevant local regulations and laws, stakeholder input, etc.

Extending the scope of accreditation to include additional, critical locations (local and foreign), locations (local and foreign) and foreign countries.

- 4.4 The committee specified in ISO/IEC 17021 Clause 6.2, or equivalent in other accreditation standards or Guides e.g. ISO/IEC Guide 65 Clause 4.8.1 f) shall be included in the development of the procedures and be included as an internal stakeholder in relation to the implementation of the risk management process.

5. IMPLEMENTATION

- 5.1 The policy becomes effective immediately.
- 5.2 All new applications shall include in their application for accreditation, the risk assessment procedure and an individual risk assessment for those locations remote from the headquarters and those countries into which accredited certificates will be issued.
- 5.3 All accredited conformity assessment bodies are required to conduct a risk assessment for those locations and countries currently listed on the JAS-ANZ accreditation schedule by 20 September 2009 (within 12 months of the publication of Policy 4/08) to ensure that the current risk treatment measures are appropriate. Failure to implement the required procedures will result in the reduction of the scope of accreditation to exclude those locations and countries not covered.



Dr James Galloway
Chief Executive
With The Authority Of The Governing Board