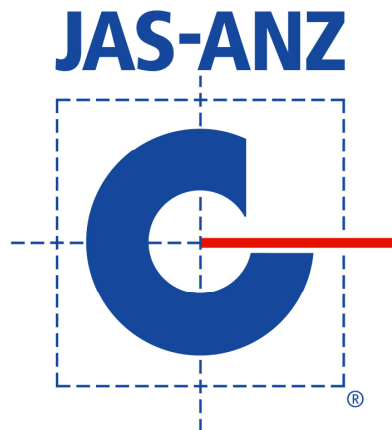


Joint Accreditation System of Australia and New Zealand

PROCEDURE NUMBER 11

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**RULES OF PROCEDURE
GOVERNING ACCREDITATION**



Authority to Issue

A handwritten signature in black ink that reads "James Galloway". The signature is written in a cursive style and is positioned below the "Authority to Issue" text.

Chief Executive Officer
With Authority of The Governing Board

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| Procedure No. 11 | <i>Joint Accreditation System of Australia and New Zealand</i> | Copy No. |
| | RULES OF PROCEDURE GOVERNING ACCREDITATION | |

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1. OBJECT AND FIELD OF APPLICATION

- 1.1 This document sets forth the Rules of Procedure that accredited bodies shall observe as part of the process of ensuring that accredited bodies possess the necessary competence, reliability and integrity to operate an effective service and hence facilitate their acceptance and recognition by the Joint Accreditation System of Australia and New Zealand Governing Board, hereinafter referred to as the Governing Board.

2. REFERENCES

- 2.1 ISO/IEC 17000 - Conformity assessment – Vocabulary and general principles
- 2.2 ISO/IEC 17011 - General requirements for accreditation bodies accrediting conformity assessment bodies
- 2.3 AS/NZS ISO 9000:2006 - Quality management systems – Fundamentals and vocabulary
- 2.4 Governing Board meeting dated 10 July 2006
- 2.5 ISO/IEC 17021 Requirements for bodies providing audit and certification of management systems

3. DEFINITIONS

- 3.1 As a general rule, definitions of ISO/IEC 17000 and ISO 9000:2006 are applicable. The following definitions either vary or supplement those definitions to cater for the JAS-ANZ environment:

Governing Board: A governmental or non-governmental body which conducts and administers an accreditation system (Joint Accreditation System of Australia and New Zealand (JAS-ANZ)).

Accreditation Criteria: Includes the appropriate accreditation standard, and all Governing Board approved policies and procedures at the time of application, and those approved from time to time subsequent to accreditation, that are applicable to the accreditation program under which accreditation is sought.

Secretariat: Staff employed by the Governing Board with delegated powers to implement the policy of the Governing Board and manage accreditation activities.

4. GENERAL

- 4.1 The JAS-ANZ Secretariat is the sole authority for coordinating, on behalf of the Governing Board, the assessment of bodies applying for accreditation.
- 4.2 Accreditation will be granted and maintained providing bodies:
- (a) comply with the Accreditation Criteria;
 - (b) has an effective internal audit and management review process;
 - (c) pay such fees as are due to the System; and
 - (d) give such undertakings as the Governing Board may require.
- 4.3 The Governing Board shall indicate how monitoring of compliance with the Accreditation Criteria shall be carried out.
- 4.4 The frequency with which bodies are normally subject to assessment and re-assessment will be published by the Governing Board. As a general guide surveillance visits would normally take place biannually and re-assessment every four years. This may change from programme to programme and may also be relaxed or tightened as a result of the level of confidence that JAS-ANZ has in the accredited body's performance. Relaxation will not result in the surveillance periodicity extending beyond twelve months. Over and above this, the Secretariat reserves the right to carry out unscheduled surveillance visits or a reassessment at intervals other than those prescribed if circumstances indicate that continued confidence in the accredited programme can not be sustained without such unscheduled action taking place.
- 4.5 The Governing Board will publish procedures covering the application for accreditation and the circumstances in which accreditation may be refused, extended, reduced, suspended or withdrawn.
- 4.6 The scope of accreditation shall be in accordance with the guidelines published by the Governing Board.
- 4.7 All information gained by JAS-ANZ in the assessment of a body will be confidential and handled on a strict "need to know" basis. Such information will not, subject to the law of the land, be divulged without the prior written consent of the accredited or applicant body.
- 4.8 In providing accreditation services, JAS-ANZ personnel will:
- (a) treat everyone with respect, courtesy, and without harassment;
 - (b) behave honestly and with integrity;

- (c) act with care and diligence.

5. ACCREDITATION CRITERIA

- 5.1 The Governing Board shall publish the Accreditation Criteria against which an applicant body shall be assessed.

6. CONDITIONS FOR ACCREDITATION

- 6.1 The body shall:

- (a) offer to all clients a standard of service consistent with the Accreditation Criteria to which it has been accredited;
- (b) offer JAS-ANZ representatives such reasonable access, cooperation, courtesy, and without harassment; to enable monitoring of compliance with the Accreditation Criteria;
- (c) have enforceable arrangements with organisations holding a JAS-ANZ accredited certificate that commit the holder of the accredited certificate to provide, on request, access for JAS-ANZ assessment teams to witness the conformity assessment body's audit team performing an audit at the organisation's site;
- (d) at all times comply with the Accreditation Criteria;
- (e) only claim that it is accredited in respect of those activities which are the subject of the Certificate of Accreditation and which are carried out in accordance with the Accreditation Criteria;
- (f) ensure that a licensee with:
 - (i) multiple sites, and/or
 - (ii) differing scopes,establishes and maintains procedures to ensure that purchasers are not misled regarding the certification coverage of any goods and services produced or provided outside of the scope registered with JAS-ANZ;
- (g) the body shall update the register either by online function or provide JAS-ANZ's Internet Service Provider as soon as practicable after accreditation, or after an amendment to the body's scope of accreditation, a list of licensees who

are certified within the scope of its Certificate of Accreditation. The list shall be supplied in the Insitec specified format and shall contain sufficient information to enable all fields of the register to be completed. The list shall be maintained up-to-date by providing Insitec with updates to the list by the 4th working day of each month;

- (h) pay promptly such fees for application, assessment, annual fee and for other services determined by the Governing Board;
- (i) not use the Certificate of Accreditation or the Accreditation Symbol in such a manner as to bring the arrangements for accreditation into disrepute, and shall not make any statement, and shall take such immediate steps as the Governing Board may require to correct any statement, which the Governing Board considers to be misleading;
- (j) upon the cancellation and withdrawal of accreditation, however determined, forthwith discontinue its use of a reference to accreditation, recover all JAS-ANZ accredited certificates and withdraw all advertising matter which contains any reference thereto;
- (k) make it clear in all contacts with its licensees that a certificate issued by it in no way implies that the product, process or service certified is approved by the Governing Board or the appropriate Australian or New Zealand Government Ministers;
- (l) endeavour to ensure that the fact of accreditation shall not be used for promotional or publicity purposes in any way that the Governing Board may consider to be misleading, and shall take such immediate steps as the Governing Board may require to correct any such misleading use;
- (m) carry adequate professional indemnity insurance covering its accredited activities
- (n) include the following in the description of the body's complaints handling process as required by ISO/IEC 17021 Clause 9.8.1 or equivalent in other accreditation standards or Guides e.g. ISO/IEC Guide 65 Clause 4.8.1 f):
 - (i) if a complainant is dissatisfied with the outcome of the CAB's complaints handling process, the complainant may refer the complaint to JAS-ANZ;
 - (ii) a commitment to a timely and effective closure of complaints. Complaints that are not closed out within a timeframe documented and agreed with the complainant shall be escalated to the CABs top management to ensure that the complaint receives the appropriate priority. Complaints that are not closed out within 3 months of that agreed timeframe shall be brought to the attention of JAS-ANZ.

7. SIGNIFICANCE OF ACCREDITATION

- 7.1 Accreditation of a body should not be regarded as in any way diminishing the normal contractual responsibilities between the accredited body and its client. While accreditation is an indication of the integrity and competence of the body, it cannot be taken to constitute a guarantee by the Governing Board that the accredited body always maintains a particular level of performance.
- 7.2 Charging arrangements between an accredited body and its client are in no way the responsibility of, nor subject to the control by, JAS-ANZ.

8. APPEALS

- 8.1 A request by a conformity assessment body for the Governing Board to reconsider any adverse decision related to its desired accreditation status will be considered by an appeals panel established by the Governing Board. The panel appointed in respect of each appeal shall consist of at least three members of the Governing Board, none of which shall have any direct commercial interest in the subject of appeal. JAS-ANZ Procedure 9 - Appeals refers.

9. NOTIFICATION OF CHANGE

- 9.1 An accredited body shall immediately notify JAS-ANZ of any intended change in the body's:
- (a) legal, commercial or organisational status;
 - (b) organisation and management, eg. key managerial staff,
 - (c) policies and procedures, where appropriate;
 - (d) locations/premises;
 - (e) personnel, equipment, facilities, working environment or other resources, where significant;
 - (f) other such matters that may affect the accredited body's capability, or scope of accredited activities, or compliance with the Accreditation Criteria, or
 - (g) countries into which JAS-ANZ accredited certificates are to be issued.

- 9.2 JAS-ANZ will immediately evaluate the information provided and institute a response commensurate with the significance of the changes. The action may vary from no action to an immediate assessment or to suspension or withdrawal.

10. USE OF JAS-ANZ ACCREDITATION SYMBOL

- 10.1 Once accredited, a body may use the JAS-ANZ accreditation symbol as authorised in JAS-ANZ Procedure 03 - Rules of Procedure Governing the use of the Accreditation Symbol, and the Accreditation Criteria.

11. MISUSE OF ACCREDITATION

- 11.1 An accredited body awarded a Certificate of Accreditation, shall cease to display or otherwise use the certificate and JAS-ANZ accreditation symbol as soon as practicable after accreditation is suspended or cancelled/withdrawn (see clauses 12 and 14 below).

12. SUSPENSION OF ACCREDITATION

- 12.1 Accreditation may be suspended for a limited period at the Governing Board's discretion or by the CEO of JAS-ANZ acting on behalf of the Governing Board, for example:
- (a) if surveillance indicates non-compliance with the specified requirements but immediate withdrawal of the Certificate of Accreditation is not considered necessary;
 - (b) if improper use of the accreditation, accreditation documentation, or accreditation symbol is not remedied to the Governing Board's satisfaction;
 - (c) if there has been any contravention of the Accreditation Criteria;
 - (d) if the accredited body has made a change to the Quality System that is not accepted by the Governing Board;
 - (d) if payment of invoiced fees is not received within 45 days following despatch of the invoice; or
 - (e) if the accredited body provides certification to any standard used as a basis for accrediting conformity assessment bodies (e.g. ISO/IEC 17025).

Note: It is accepted that a CAB may have to assess subcontractors to confirm that they meet the CAB's requirements, which may include accreditation standards e.g. ISO/IEC 17025. Documentation issued to subcontractors as a result of a successful assessment should clearly state that this is only for the purposes of the subcontract and is not certification or accreditation in accordance with ISO/IEC 17011.

12.2 Prior to issuing a notice of suspension of accreditation JAS-ANZ will:

- (a) Advise the CAB of any perceived grounds for suspension and invite comment (15 days) from the CAB on the perceived grounds for suspension or any mitigating circumstances;
- (b) Present all relevant information to **either the Chief Executive or the Accreditation Review Board for a decision. Decisions associated with suspensions that relate to violation of the CAB's legal and/or financial obligations to JAS-ANZ, shall be taken by the Chief Executive. Decisions associated with suspensions that relate to violation of the Accreditation Criteria, shall be taken by the Accreditation Review Board;** and
- (c) Communicate to the CAB the decision.

12.3 As a general rule, when a body is suspended, the body shall:

- (a) not actively promote their JAS-ANZ accreditation for the period of the suspension;
- (b) not issue any JAS-ANZ accredited certificates for the period of the suspension;
- (c) maintain surveillance and recertification in accordance with JAS-ANZ accreditation requirements for all holders of JAS-ANZ accredited certificates;
- (d) cooperate fully with the JAS-ANZ Secretariat to enable the suspension to be lifted.

12.4 Suspension shall be confirmed by the Governing Board in a registered letter to the accredited body or by equivalent means, and will indicate the conditions under which the suspension will be removed (such as corrective action under clause 13 below). The Governing Board may publish notification of the suspension.

12.5 At completion of the specified period, the Governing Board shall:

- (a) remove the suspension and notify the accredited body accordingly; or
- (b) cancel the accreditation and withdraw the certificate if the conditions are not fulfilled.

13. CORRECTIVE ACTION

13.1 An accredited body is responsible for taking prompt and adequate action to correct any contravention of the Accreditation Criteria, and for formally notifying the Governing Board of the corrective action proposed or taken.

14. WITHDRAWAL/CANCELLATION

14.1 The Governing Board shall cancel accreditation, withdraw the certificate and cancel any agreement for the use of the JAS-ANZ accreditation symbol in the following cases:

- (a) under the relevant provisions of Clause 12;
- (b) if surveillance indicates that non-compliance to relevant requirements is of a serious nature;
- (c) at the formal request of an accredited body;
- (d) if the Accreditation Criteria are changed and the body either will not or cannot ensure conformity with the new requirements;
- (e) if the accredited body ceases to operate their accredited system;
- (f) if the accredited body fails to meet financial obligations to the Governing Board; or
- (g) on any other grounds specifically provided for under the Accreditation Criteria or formally agreed between the accredited body and the Governing Board.

14.2 If a certificate of accreditation is withdrawn, the body concerned shall inform all licensees included in their register of the situation by registered letter or equivalent means. The JAS-ANZ Register shall also be amended accordingly and the Governing Board may also publish notification of the cancellation.

14.3 An accredited body may appeal to the Governing Board against a decision to withdraw accreditation.

15. CHANGES TO THE ACCREDITATION SYSTEM RULES

15.1 In the event of changes being required to the Accreditation Criteria, the Governing Board shall:

- (a) afford opportunity for accredited bodies affected by a proposed change to submit comments on the proposed change(s);

- (b) specify an effective date for the change(s); the effective date shall allow sufficient time for accredited bodies to amend and implement changes to their Quality System;
- (c) formally notify all accredited bodies of the new requirements of the effective date of the change and the action required of the bodies concerned; and
- (d) verify that the changes have been effectively implemented.

15.2 Failure to take the required action by the effective date may lead to suspension under Clause 12 or withdrawal/cancellation under Clause 14 of this document.