

Issues in Assessments

CBs' Meeting

26 May 2010

Accreditation Process

- Application
- Document Review – 2 Mandays – 2 assessors – need for all documentation – soft copies – sometimes reluctance – assessors' bound by confidentiality
- Optional Preassessment
- OA – normally 4 MDs – one MD for each additional scheme – only after DR is reasonably ok
- WAs – min 2 – normally not planned with OA – if any issues in OA which may prevent WAs – like auditor qualification
- Grant of accreditation

Surveillance/Reaccreditation

- Annual – within 12 months – grace upto 15 months – CB to justify
- WAs based on no of certificates – need cooperation in conducting in time
- Client sampling – ‘other’ surveillance activities in ISO 17011 – based on triggers
- Reaccreditation – ideally 3 months before expiry – notice from NABCB – 4 months before expiry – strongly urge early OA– ‘major’ NC – no reaccreditation – 4 years

Malpractice

- Detection of misuse – increasing incidences
- First suspensions – Apr 2007
- Subsequently more CBs penalized
- Understanding of Impartiality
- What is barred – consultancy, internal audit, certifying another CB, audits to consultancy orgzn
- Rest – all situations to be covered in CoI analysis
- Serious CoI issues – categorization of NCs – if a significant issue not covered – major/critical NC – CB paying consultants is not disclosed in CoI analysis

Indications

- CoI issues
- Marketing agents – organizations – sub contracting - individuals – antecedents – CoI analysis – role assigned
- Use of TEs – large nos – audit reports not showing any evidence – none in attendance sheet
- Consultants being used as auditors – any affiliation with consulting organizations
- Relatives in consultancy – if not declared to be treated as concealing information
- Audit reports – handwriting - additions/alterations



Issues

- Assessors on panel – sometimes sectt officers – bound by CoI and confidentiality – free to ask for change based on justifiable grounds
- Cost – generally kept in mind – local assessors not always possible – rotation – in WAs, background of assessors in terms of scopes
- Time management– OAs – AT’s responsibility – no of personnel who can handle assessors – additional time if only one person - WAs – CB’s responsibility – at least an hour after closing – impact on logistics - cost



Issues *(contd)*

- Handing over NCs – advice to hand over on site – certainly major – exceptional cases not possible – response in same format to maintain complete record
- Complaints – generally lacklustre response – one CB who suspended a client – client’s system – ack – investigation – conclusion – valid or not – information to complainant - CB’s audit – appropriateness of conclusion – if valid, CB’s response – when would CB suspend certificate – legal non compliance?
- Wrong scopes – sometimes mistake, sometimes deliberate – onus on CB – scope sought by client – no justification – CB to evaluate and decide - considered misuse of accreditation – withdraw certificate



Issues *(contd)*

- Legal compliance – interaction with Regulators – no respect for certification – audit of compliance – sampling – appropriate regulations
- Observers from NABCB – TLs being observed
- Feedback form – feel free



Thank You