



For IEC use only	CAB/654/R
	2007-04-21

INTERNATIONAL ELECTROTECHNICAL COMMISSION

CONFORMITY ASSESSMENT BOARD (CAB)
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Meeting 21, Sydney, 2007-05-31

SUBJECT

Agenda item 9.4.1

Report on the meeting of the CAB/IAF Technical Panel held in February 2007
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ACTION

This is for information.



CAB/IAF Technical Panel

SUBJECT

Report from the CAB/IAF Technical Panel meeting held in Geneva 20 February 2007.

BACKGROUND

This report is based on the outcome of the discussion that took place within the subjected meeting.

ACTION

The CAB/IAF TP is requested to approve this report and to circulate it to the respective boards to seek support/approval.



Members:

Pierre de RUVO

Don MADER

Joe GRYN

Chris AGIUS

Ron SINCLAIR

Stan SALOT

Norbert MUELLER

Lorenzo THIONE

Randy DOUGHERTY

Jeff CHEN

Klaus OBERSTE-LEHN

Alex EZRAKHOVICH

John OWEN

IECEE Executive Secretary and Head of CAB
Delegation

UL Inc

CSA International

IECQ, IECEX Secretary

Baseefa, IECEX

BQPM, IECQ

BmWA and Head of Delegation for ILAC

SINCERT and Head of IAF Delegation: Acting
Chairman

ANAB: Acting Secretary

TAF

TUEV NORD CERT

IQNet

IAF

Apologies

Apologies

Special Observers:

Don MADER

Shigeo NONAKA

Kozo SAKAMOTO

Bill BRYANS

Wolfgang KREINBERG

Gösta Fredriksson

UL Inc.

JAB

Secretariat of JISC

IBM

TÜV SUD PS

ITS/Semko, IECEE Chairman



1 APPOINTMENT OF THE CHAIRMAN

The CAB/IAF TP agreed to appoint the head of the IAF delegation, Dr. Lorenzo Thione, as Acting Chairman and Randy Dougherty as Acting Secretary for this meeting. The CAB/IAF TP also agreed that the Acting Chairman will be fully responsible for any follow-up action until the next meeting.

DECISION: Consistent with the decision at the meeting in 2006, the chairmanship will be on a rotational basis between the CAB delegation and the IAF delegation, so the CAB delegation will have the chairmanship and secretary for the 2008 meeting.

2 OPENING OF THE MEETING

The Chairman welcomed members and the special guests of the second CAB/IAF Technical Panel meeting.

3. APPROVAL OF THE AGENDA

CAB/IAF-TP/012/DA_REV3

The CAB/IAF TP approved the agenda.

DECISION: The agenda was approved as distributed.

4. REVIEW AND FOLLOW-UP ON DECISIONS FROM LAST MEETING

CAB/IAF-TP/025/INF

The CAB/IAF TP discussed the items. Regarding item Decision 3 which was for IAF to invite IEC Scheme assessors to IAF training courses or workshops, it was noted that IAF training and workshops is limited to peer evaluators of IAF ABs to ISO/IEC 17011. With the exception of the recent IAF workshop on ISO/IEC 17021, IAF does not provide training or workshops for accreditation assessors for standards such as ISO/IEC Guide 65. Regarding Decision 1 for the IECEx to provide scheme specific requirements to IAF, some information was provided to some ABs (notably to JAS-ANZ). Regarding Decision 2, the IEC did invite IAF assessors to attend IEC assessor training (see agenda item 14). There was continued discussion of concerns about accredited certificates for ISO 9001 which the IECEx and IECQ rely upon. There was discussion about possible specific actions that may be taken by these IEC schemes with IAF.



DECISION:

- a) Chris Agius will work with Alex Ezrakhovich to explore solutions.
- b) Stan Salot will work with Randy Dougherty, as the IECQ working with an IAF member AB (ANAB) for possible solutions.

5. IAF GUIDANCE ON ISO/IEC GUIDE 65

CAB/IAF-TP/013/INF
CAB/IAF-TP/014/INF

The TP noted that the issues discussed at the last meeting were resolved at an IAF Task Force meeting in October 2006 that was attended by IEC members, and that the IAF Guidance was subsequently published on 8 December 2006 to become effective 8 December 2007.

The Chair confirmed that there are no major open issues regarding the guidance although confirmation of common interpretation of some points might be helpful. Moreover, he noted that clarification is still needed regarding "Policy on Auditable Locations" as reported in Item 13 of these Minutes.

6. COMMON UNDERSTANDING OF IAF GUIDANCE TO ISO/IEC GUIDE 65

CAB/IAF-TP/015/INF

The TP discussed the application of part of G.4.3.1 *"Demonstration of the competence of the testing activity may be based on a documented evaluation performed by internal or external competent personnel according to appropriate procedures"* The word "may" is permissive and additional assessment at the test location by the AB would be considered only if it is determined that the certification body does not provide sufficient confidence.

It was agreed that the available documentation, such as IECEE CB-Scheme assessment reports and the NCR clearance process, should provide sufficient confidence.

DECISION: The TP agreed that the words "external competent personnel" may mean the IEC Scheme and that the IECEE assessment process is well documented, meets the intent of Sub-clause G.4.3.1 and is sufficient to demonstrate confidence.

6.1 COMMON INPUT TO WG29 DEVELOPMENT OF ISO/IEC 17065

CAB IAF-TP/016/INF

The TP discussed how IAF and IEC may collaborate together (and with ILAC) regarding the work of CASCO WG29 which will be transforming ISO/IEC Guide 65 into ISO/IEC 17065.



It is recommended that IAF and IEC coordinate their inputs to this work in order to support the related effectiveness and timeliness and favor the adherence to the evolving needs of industry and stakeholders in general.

TP members agreed that the preference is for the new standard to be comprehensive and self-contained so there is no need for IAF guidance. TP members agreed that the standard should well address certification of services. It was agreed there is need for the standard to be clear about the application of parts of other CASCO conformity assessment standards, such as ISO/IEC 17025 for testing, ISO/IEC 17021 for management systems certification, and ISO/IEC 17020 for inspection that relate to product certification schemes. The TP also agreed that it is critical for product CB personnel to have “metrological competence”; that they clearly understand measurement uncertainty in order to apply results to product certification decisions, where it may be relevant.

DECISION: The TP agreed that, to the extent possible, IAF, IEC, and ILAC will communicate as needed to determine a common approach.

7. FEASIBILITY OF JOINT ASSESSMENTS

CAB IAF-TP/017/INF

The TP continued discussion initiated in the first meeting regarding joint assessments of product certification bodies by IAF ABs and IECEE teams. The TP agreed there was no reason to delay in implementing a pilot program with IAF that is based on a similar program with ILAC.

DECISION:

- a) Pierre de Ruvo will provide to the IAF delegation the re-assessment plan, technical expert information, and the process flow chart as used with joint assessments with ILAC member ABs.
- b) Norbert Muller will make a presentation to the IAF Technical Committee in March 2007 and invite ABs to participate in the pilot.

8.1 COMMON ASSESSMENT REPORT

CAB IAF-TP/018/INF

DECISION: The TP agreed to use the common assessment report, as proposed by the IECEE, for the joint assessments during the pilot.



8.2 COMMON CHECKLIST

CAB/IAF-TP/019/INF

DECISION: The TP agreed to use the common checklist developed by the IECEE for the joint assessments during the pilot.

8.3 DEFINITION OF ACCREDITATION SCOPES

CAB/IAF-TP/020/INF

The TP discussed, extensively, the issue of scopes of accreditation for product certification. It was the perception of some that a system of generic scopes by an Accreditation Body, combined with relying upon the CB to maintain records regarding the specific standards, would suffice. Some members were adamant that it was essential for the accreditation scopes to also identify the specific standards. It was noted that the IEC Schemes are to specific standards, but it was also acknowledged that the IEC Schemes are in a unique position to require and control this level of detail with its participating CBs. There seemed to be some level of consensus of the ICS codes as the best candidate for harmonization in the field of electrical safety, noting that this would not be adequate for IECEx as the ICS coding only recognizes one code for Ex despite there being many technologies and disciplines involved.

In addition, the TP noted that IECQ use specifications developed within the IECQ structure which again places challenges on using a simplified system. It was noted that there are limitations for every scoping/coding system currently in use. However, there was agreement by the TP that the issue of paramount importance to all parties, and has important implications on credibility, is integrity and competence as well as the effectiveness of accreditation and certification and its value to global trade. The different methods and systems used to convey accreditation status and scope to the public was raised by IECEx, noting that for some Accreditation Bodies the information on their websites is useful while others are very difficult to locate. The TP were informed of the IECEx surveillance system of CBs that rely on data from Accreditation Bodies.

DECISION: The TP agreed to form a working group with Pierre de Ruvo, Stan Salot, Chris Agius, Ron Sinclair, Joe Gryn and Norbert Muller to develop a paper on scoping to present to accreditation bodies. The paper is to include discussion of scoping within the IEC Schemes and ILAC

9. IEC SCHEME NEEDS FOR ISO 9001

CAB IAF-TP/021/INF

The TP continued discussions relating to the concerns of the IECEx and IECQ schemes that rely upon accredited certification to ISO 9001. The TP reviewed, again, the discussion paper (CAB/IAF-TP/009/INF) from the meeting in 2006 and discussed that general ISO 9001 certification may not provide the confidence required by IEC Schemes, dealing in specialized areas.



Among others, the need was underlined for the certification ensuring a correct metrological approach by the certified organizations (namely the availability and proper implementation of a robust metrological confirmation system), this being often not properly addressed and confirmed by the existing certifications practices. The IAF delegation discussed the current IAF task force on improving accredited certification, and invited representatives of the IEC Schemes to its meetings on 24 February and 25 March. The IEC delegation invited IAF members to the IECQ meeting in May and the IECEx meeting in September. There may be a need to have ISO 9001 certification for IECQ or IECEx clients treated as a specific scope of accreditation and with specific additional scheme requirements on the CBs for auditor competence, audit duration, etc.

DECISION: The TP agreed to continue to work together to try to improve accredited certification.

10. COMMON TRAINING INITIATIVES

CAB IAF-TP/022/INF

IEC envisions having training and workshops relating to assessment of product certification bodies for ISO/IEC 17025 and ISO/IEC Guide 65. There was recognition by the IAF delegation that there may be an opportunity for IAF to sponsor training of accreditation and certification personnel regarding assessments to ISO/IEC 17021, ISO/IEC Guide 65, ISO/IEC 17020, ISO/IEC 17024 and ISO/IEC 17025 as it relates to certification and inspection.

DECISION: The TP agreed to continue to seek opportunities for joint training initiatives.

11. MoU BETWEEN IAF AND IEC

CAB/IAF-TP/023/INF

The TP reviewed the proposed MoU as drafted by IEC based on the IEC-ILAC MOU.

After some slight changes, the TP agreed that the revised MoU be submitted through the appropriate channels of both the IAF and IEC to the IAF Executive Committee and to the IEC-Conformity Assessment Board for consideration and approval.

DECISION: Heads of Delegation to submit the proposed MOU to the IAF Executive Committee and to the IEC-Conformity Assessment Board for consideration and approval.

12. USE OF ISO/IEC 17021 ON THE IECEE SYSTEM

CAB/IAF-TP/024/INF

DECISION: The TP decided this issue is currently out of scope.



13. POLICY ON AUDITABLE LOCATIONS

CAB/IAF-TP/026/INF

The TP discussed the paper and the decisions of one IAF member accreditation body relative to the announcements it made to its accredited product certification bodies regarding cross frontier accreditation key activities (per ISO/IEC 17011) and critical locations (per IAF GD3). There was vigorous discussion about the need of an AB to assess laboratories used by a product certification body (especially as related to participants in the IEC Schemes). There was no agreement, although several members were of the opinion that testing laboratories are not to be considered as “critical locations” of the product certification body.

14. FEEDBACK FROM THE IECEE LEAD ASSESSOR TRAINING

AAG/697/INF

Pierre de Ruvo reported the statistical analysis of the feed back of the IECEE Lead Assessor training course to which IAF members were also invited and attended. The TP noted that the training was a complete success. It was also noted that additional IECEE training is planned for the future to which an invitation will be issued for IAF members as usual and it was agreed that IAF will extend an invitation to the IEC Schemes for any IAF training that is to take place in the future.

DECISION: To continue to offer assessor training and continue to invite IAF ABs to have their assessors participate.

15. CLOSE OF THE MEETING

The next CAB/IAF TP meeting will take place in Buxton, UK on Tuesday, 26 February 2008. The Chairman thanked the IEC as the Hosting Organization and for the overall arrangements, the Members and the Observers for their contributions to have professional and focused discussions on the various issues and adjourned the meeting.



Annex 1 – CAB/IAF TP Terms of Reference

The objective of the CAB/IAF Technical Panel is to pursue close cooperation between the IAF and the IEC Conformity Assessment Schemes that caters to the needs of their respective members and stakeholders.

Towards this objective, the CAB/IAF TP will develop and facilitate the implementation of the following elements of collaboration:

- Common understanding of the requirements laid down in ISO/IEC Guide 65 applicable to the Electrotechnical Sector
- Practical utilization of ISO/IEC Guide 65 assessments in the IAF and IEC CA Schemes programs. This may include, but will not be limited to, the following:
 - Harmonized assessment report form
 - Harmonized checklist
 - Harmonized assessment preparation guidelines
 - Joint assessments of certification bodies (that are participating in the programs of both parties) - on a trial basis
 - Inclusion of the IEC CA Schemes' requirements in IAF assessments
- Use of each other's qualified assessors