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CAB/1379/INF

2015-04-20

INTERNATIONAL ELECTROTECHNICAL COMMISSION

CONFORMITY ASSESSMENT BOARD (CAB)

Meeting **37**, Geneva, 2015-06-15

SUBJECT

Agenda item 6.1.1

Comparison of some elements of the Peer Assessment Process used by the IEC Conformity Assessment Systems.

BACKGROUND

During the March 2015 meeting of the CAB Task Force on CA Governance, the CAB Chairman requested that the Executive Secretaries of the CA Systems provide CAB with a general overview comparison on how the Peer Assessment process is used by each of the CA Systems. This request was directed to the 3 established Systems of IECEE, IECEx, IECQ. However this document comparison makes provision for the new CA System, IECRE to record any positions it may have at this early point in its development.

ACTION

CAB Members are requested to note this document for possible discussion at the June 2015 Geneva meeting.

Introduction

Peer Assessment has been used as a tool in qualifying Certification Bodies and Test Labs for acceptance into the IEC Conformity Assessment Systems and their Schemes for many years.

It has formed the basis of the Standard way of qualifying CBs and TLs and provided confidence among all IEC CA System Stakeholders that CBs and TLs operating in IEC CA Systems have the necessary:

- Competent Staff
- Test and Assessment facilities
- Processes and Systems
- Up to date procedures in line with the IEC CA Scheme rules and Operational Documents
- Assurance of their compliance with ISO/IEC Guides and Standards, eg ISO/IEC 17000 series

As IEC CA Systems develop better tools and more supporting documentation with the aim of ensuring a consistent high level of performance by all CA System CBs and TLs, ensuring that all are implementing the respective IEC CA Systems Rules and ODs become an essential element towards overall credibility of the CA Services offered by IEC CA Systems.

IEC CA Systems have long acknowledged the use and value of national accreditation and while the accreditation process is not expected to cover the details covered by individual CA Schemes RoPs and ODs, national accreditation under the ILAC/IAF system is used as part of the evidence gathering exercise to determine compliance with Scheme requirements, by each of the CA Systems.

In acknowledging different approaches used by national accreditation, Peer Assessment as used by the established IEC CA Systems also includes some variations to cater to the specific needs of the IEC CA System and industries they serve.

However the core of Peer Assessment, i.e. use of experts involved in the same activities as the bodies under evaluation remain constant across all 3 established CA Systems.

This informative document provides CAB with a picture of how peer assessment is utilised among the established 3 CA Systems by identifying the various aspects/elements of the peer assessment process and is split into the following 2 Sections

Section 1 – Initial Assessment / Qualification of Certification Bodies and/or Test Labs

Section 2- On-Going Surveillance and Re-assessment of Certification Bodies and Test Laboratories

Within each Section, a number of “Aspects “ of the Peer Assessment Process are listed in the first column with a column for response from each of the CA Systems. Following each Aspect are two rows to identify

- a) The Common Features across all CA Systems
- b) The differences that may exist among the CA Systems.

Aspect of Peer Assessment	IECEE	IECEX	IECQ	IECRE
SECTION 1 - Initial Assessment / Qualification of Certification Bodies and/or Test Labs				
Peer Assessment Used to evaluate Certifiers + Labs	Yes IECEE 02, 02-1, 02-3 OD 2004, 2005, 2006 plus others	Yes Refer to IECEX 02, 03, 05 http://www.iecex.com/rules.htm OD 003, OD 316, OD 501 http://www.iecex.com/operational.htm	Yes Refer to IECQ 02 OD 010, OD 013 http://www.iecq.org/publications/rules-procedures/	Yes – details under development
Common Features across CA Systems	<ul style="list-style-type: none"> • ISO/IEC 17065, Guide 65, 17025, 17024 used for basis of evaluating TLs and CBs all Schemes • Use of ISO/IEC 17040 as basis for peer assessment • Each System and each Scheme have additional requirements above those of ISO/IEC Guides + Standards • Process of peer assessment defined within each CA System 			
Differences	<ul style="list-style-type: none"> • No 			
Accreditation under ILAC / IAF used as part of CB + TL Qualification process	Yes IECEE 02, 02-1, 02-3 But in reality, due to different approach by many ABs and the prescriptive nature of the IECEE Rules and ODs, accreditation is of little value at the initial assessment.	Yes Refer to IECEX 02, 03, 05 OD 003, OD 316, OD 501 But in reality, due to different approach by many ABs and the prescriptive nature of the IECEX Rules and ODs, accreditation is of little value at the initial assessment.	Yes Refer to IECQ 02 OD 010, OD 013 But in reality, due to different approach by many ABs and the prescriptive nature of the IECQ Rules and ODs, accreditation is of little value at the initial assessment.	
Common Features across CA Systems	<ul style="list-style-type: none"> • Accreditation is not mandatory • Where exists is used as part of evidence gathering exercise if falling under the IEC/ILAC/IAF MOU • Unified assessments with Accreditation Bodies is available 			
Differences	<ul style="list-style-type: none"> • Unified assessments used mostly within IECEE CB Scheme • IECEX rarely use Unified Assessments for Equipment / Services or Personnel Schemes – but is always an option 			

Aspect of Peer Assessment	IECEE	IECEX	IECQ	IECRE
	<ul style="list-style-type: none"> IECQ little experience with Joint assessments but some Accreditors use IECQ peer assessment results 			
Pool of expert Assessment Assessors Maintained	Yes	Yes	Yes	
Common Features across CA Systems	<ul style="list-style-type: none"> Quality Management System and Technical experts with experience and knowledge in Testing / Certification Match between technical expertise of Assessor and scope of CB or TL Knowledge and experience with operations of the CA System and scheme Independence between Peer assessor and Body under assessment 			
Differences	<ul style="list-style-type: none"> Not aware 			
Use of Peer Assessors from organisations other than a CB or TL	Retired NCB/CBTL Assessors, but IECEE requires Assessors to be sponsored by NCBs	Yes BUT RoPs require that at least one member of an assessment team must come from an ExCB/ExTL	No, except from the IECQ Secretariat	
Common Features across CA Systems	<ul style="list-style-type: none"> Quality Management System and Technical experts with experience and knowledge in Testing / Certification Match between technical expertise of Assessor and scope of CB or TL Knowledge and experience with operations of the CA System and scheme Independence between Peer assessor and Body under assessment 			
Differences	<ul style="list-style-type: none"> IECEE require previous Assessors whom are now retired to have sponsorship by NCB. IECQ does not use peer assessors from other than CBs 			
Leader of Peer Assessment Team	Approved Pool of Lead Assessors whom have been	Can be an expert from an ExCB or ExTL or other organisation BUT at	All IECQ Assessment Teams are led by a representative	

Aspect of Peer Assessment	IECEE	IECEX	IECQ	IECRE
	nominated by NCBs/CBTLs	least one team member must come from an ExCB or ExTL	from the IECQ Secretariat to ensure neutrality and confidentiality is maintained when reviewing confidential or sensitive records BUT at least one team member must come from an IECQ CB	
Common Features across CA Systems	<ul style="list-style-type: none"> • Quality Management System and Technical experts with experience and knowledge in Testing / Certification • Match between technical expertise of Assessor and scope of CB or TL • Knowledge and experience with operations of the CA System and scheme • Independence between Peer assessor and Body under assessment 			
Differences	<ul style="list-style-type: none"> • For IECQ the Assessment team is led by a representative from the IECQ Secretariat 			
Reporting	OD-2004/2005 is filled in by the assessment team & provided to the Secretariat for distribution and review by the membership.	<p>Assessment Teams generate several reports: ISO/IEC 17025 Report ISO/IEC 17065 Report IECEX TCDs (Technical Capability Documents) used to document capability against each Standard</p> <p>On-Site assessment Report, which contains full details of issues raised and corrective action and used by Secretariat to ensure assessment is complete</p> <p>Final Summary Report issued to</p>	<p>Assessment Teams compile OD 013 Assessment Report which reports on:</p> <ol style="list-style-type: none"> 1) Statement of Surveillance Arrangements (SSA Document) 2) ISO/IEC 17021 and 17065 as relevant 3) Compliance with IECQ RoPs and ODs 4) Results of witness auditing 	

Aspect of Peer Assessment	IECEE	IECEX	IECQ	IECRE
		IECEX Member Bodies for consideration and voting.		
Common Features across CA Systems	<ul style="list-style-type: none"> • Common ISO/IEC 17025 Checklist and Report form for IECEE, IECEX, IECQ • Common ISO/IEC 17065 Checklist and Report form for IECEE, IECEX, IECQ • Final Reports submitted to CA System membership for approval 			
Differences	<ul style="list-style-type: none"> • Final report forms differ among the Systems and also within the Systems for specific Sectors and/or Schemes to address different requirements and operational processes of the individual Schemes, eg for (TCDs for IECEX), (SSA for IECQ) 			
Independent review of Assessment team's report prior to submission to Management Committee	Yes – The IECEE Secretariats checks for certain elements (e.g. completeness) before publishing the report, but does not evaluate the technical content. When the report is published, 25% of reports will be assigned to two independent reviewers (who are Lead Assessors) for review.	Yes – conducted by IECEX Secretariat. This includes review of all reports prepared (as mentioned above) including “site assessment” report and the final voting report issued to the Membership.	Yes – conducted by IECQ Secretariat This includes review of the report and any issues raised by the Assessment team, prior to issuing to the Membership for voting.	
Common Features across CA Systems	<ul style="list-style-type: none"> • A review of the Draft Final Report is conducted prior to issue to CA System membership • Allows for questioning and seeking of additional information 			
Differences	<ul style="list-style-type: none"> • For IECEE additional peer assessors conduct this review • For IECEX and IECQ the Secretariat conducts this review 			
System Management Committee vote/decide on final report and	Yes – Formally, the CMC approves the new members, in practice,	Yes usually via correspondence in order to prevent delays in waiting for next meeting	Usually done at a meeting but provision is made of acceptance via	

Aspect of Peer Assessment	IECEE	IECEX	IECQ	IECRE
hence acceptance of CBs or TLs	this is done on an ongoing basis by the Secretariat and PAC to avoid delays between annual meetings.		correspondence	
Common Features across CA Systems	<ul style="list-style-type: none"> • CA System membership vote/approve the acceptance of new CBs and TLs • Can be done at a meeting or between meetings with voting via correspondence 			
Differences	<ul style="list-style-type: none"> • Not aware of any 			
Assessor Payment	Yes Assesors invoice the assessed entity directly, based on pre-approved cost schedule and quote	Yes Assessor organisation invoices IECEX whom recovers funds by invoicing CBs and TLs. A system requested by ExMC to address perceived conflict of interest when consultants are used.	Yes Assessor organisation invoices IECQ whom recovers funds by invoicing CBs and TLs. Reasons for this approach are different to those of IECEX.	
Common Features across CA Systems	<ul style="list-style-type: none"> • Assessors time and travel costs are covered • CB or TL under assessment cover these costs • Cost estimate and assessment plan submitted in advance to CB and TL to confirm acceptance • Assessment plan and cost estimate overseen by Secretariat 			
Differences	<ul style="list-style-type: none"> • Payment of Pre and post site visit time is provided in some Systems • Travel time is provided in some Systems • Peer assessor's Organisations invoice IECEX and IECQ not the CB or TL • IECEX and IECQ in-turn invoice CBs and TLs to recover Assessor charges • Peer assessor's Organisations invoice CBs and TLs directly under the IECEE 			

Aspect of Peer Assessment	IECEE	IECEX	IECQ	IECRE
SECTION 2- On-Going Surveillance and Re-assessment of Certification Bodies and Test Laboratories				
Types of on-going surveillance	<p>Annual</p> <p>Re-assessment 3 year intervals</p> <ul style="list-style-type: none"> • Quality Management System (QMS) assessment: for those who are not accredited by an ILAC/IAF member, they need to undergo this assessment on a yearly basis • Re-location assessment: if the CB or TL moves • Scope extension: if the organization wishes to extend its scope • Re-assessment: every 3 years <p>Follow-up assessment: if the findings at the assessment were such that an expert needs to return to the organization to verify the</p>	<p>Annual</p> <p>On-going checking/review of on-line certificates by System Secretariat</p> <p>Mid Term (2.5 years)</p> <p>Re-assessment (5 years)</p> <p>Re-location Assessment (as required)</p> <p>Scope extension Assessments (as required)</p> <p>Follow up Assessments (if required by findings of any assessment)</p>	<p>Annual</p> <p>Re-assessment (5 years)</p> <p>Re-location Assessment (as required)</p> <p>Scope extension Assessments (as required)</p> <p>Follow up Assessments (if required by findings of any assessment)</p>	

Aspect of Peer Assessment	IECEE	IECEX	IECQ	IECRE
	implementation of corrective actions			
Common Features across CA Systems	<ul style="list-style-type: none"> • Annual checking/assessment of CBs and TLs managed by Secretariat • Re-assessment • Re-location assessment where bodies move • Scope extension assessments where scope extends current technical capability • Follow up assessments, if findings of an assessment require confirmation of corrective action 			
Differences	<ul style="list-style-type: none"> • Interval between re-assessment 3 year for IECEE / 5 Year for IECEX + IECQ • Mid term assessment used by IECEX – for technical review of files only • On-Line checking / review of issued certificates by Secretariat in some instances 			
Annual	<p>Only QMS assessment for those that do not have accreditation.</p> <p>Where no accreditation or not acceptable, annual site visit by an IECEE peer assessor is arranged</p>	<p>Where accreditation satisfies IECEX = Secretary confirming validity of current accreditation</p> <p>Where no accreditation or not acceptable, annual site visit by an IECEX peer assessor is arranged</p>	<p>Where accreditation satisfies IECQ = Secretary confirming validity of current accreditation</p> <p>Where no accreditation or not acceptable, annual site visit by an IECQ peer assessor is arranged</p> <p>IECQ work with selected ABs to effect annual surveillance. Refer OD 018</p>	
Common Features across CA Systems	<ul style="list-style-type: none"> • Where no accreditation annual site visits are conducted • Secretariat confirms validity of national accreditation 			
Differences	Not aware of any significant differences			

Aspect of Peer Assessment	IECEE	IECEX	IECQ	IECRE
On-going checking/review of on-line Certificates by Secretariat	<p>Secretariat checks about once a year for inconsistency in data, such as wrong factory location.</p> <p>Actual content is not checked, however, tools are in place to allow CBs to only issue certificates for standards in their scope for example.</p>	<p>Performed on a sampling basis across all issued certificates includes checking of:</p> <ul style="list-style-type: none"> • Content • Product Marking details • Conditions of Certification • Linking to registered Test Reports and Audit Reports • Surveillance audits are being conducted <p>Certificates can only be “suspended” or “Cancelled” by the Secretariat but is only done under advice by ExCB that issued the certificate. This is a safety feature of the system.</p> <p>Reported to Executive + ExMC</p>	<p>Limited on checking on Content performed – not formal</p> <p>Certificates can only be “suspended” or “Cancelled” by the Secretariat but is only done under advice by ExCB that issued the certificate. This is a safety feature of the system</p>	
Common Features across CA Systems	<ul style="list-style-type: none"> • CA Systems Secretariat maintains the Database or On-Line certificate System which is provided and supported by Geneva Central Office • Some on-going checking/review is performed 			
Differences	<ul style="list-style-type: none"> • On-going reviews of issued certificates occurs mainly in IECEx as all Certificates are publicly available on the system along with a linked database listing of issued ExTRs and QARs (audit Reports) – Conducted by Secretariat staff and reported to Management Committee and Executive 			

Aspect of Peer Assessment	IECEE	IECEX	IECQ	IECRE
Mid-term assessment	No	Introduced as additional means of reviewing technical files (ExTRs and QARs) on site at the ExCB and ExTL premises. Focus of this assessment is reviewing test reports and audit reports	No	
Common Features across CA Systems	<ul style="list-style-type: none"> None 			
Differences	<ul style="list-style-type: none"> Specific only to IECEX 			
<u>Re-Assessment</u>	3 years – an audit covering selected Standards from the full scope of participation	5 years – complete peer assessment as though the ExCB and ExTL are applicants, minimum 2 assessors/team	5 years – complete peer assessment as though the IECQ CB are applicants minimum 2 assessors/team	
Common Features across CA Systems	<ul style="list-style-type: none"> Re-assessment is used across all CA Systems 			
Differences	<ul style="list-style-type: none"> Intervals between re-assessments 			
<u>Re-Assessment:</u> Leader of Peer Assessment Team	Can be an expert from an NCB or CTL	Can be an expert from an ExCB or ExTL or other organisation BUT at least one team member must come from an ExCB or ExTL	All IECQ Assessment Teams are led by a representative from the IECQ Secretariat to ensure neutrality and confidentiality is maintained when reviewing confidential or sensitive records BUT at least one team member must come	

Aspect of Peer Assessment	IECEE	IECEX	IECQ	IECRE
			from an IECQ CB	
Common Features across CA Systems	<ul style="list-style-type: none"> • Quality Management System and Technical experts with experience and knowledge in Testing / Certification • Match between technical expertise of Assessor and scope of CB or TL • Knowledge and experience with operations of the CA System and scheme • Independence between Peer assessor and Body under assessment 			
Differences	<ul style="list-style-type: none"> • For IECQ the Assessment team is led by a representative from the IECQ Secretariat 			
<u>Re-Assessment:</u> Reporting	OD-2004/2005 is filled in by the assessment team & provided to the Secretariat for distribution to the membership.	<p>Assessment Teams generate several reports:</p> <p>ISO/IEC 17025 Report ISO/IEC 17065 Report IECEX TCDs (Technical Capability Documents) used to document capability against each Standard</p> <p>On-Site assessment Report, which contains full details of issues raised and corrective action and used by Secretariat to ensure assessment is complete</p> <p>Final Summary Report issued to IECEX Member Bodies for consideration and voting.</p>	<p>Assessment Teams compile OD 013 Assessment Report which reports on:</p> <p>5) Statement of Surveillance Arrangements (SSA Document)</p> <p>6) ISO/IEC 17021 and 17065 as relevant</p> <p>7) Compliance with IECQ RoPs and ODs</p> <p>8) Results of witness auditing</p>	
Common Features across CA Systems	<ul style="list-style-type: none"> • Common ISO/IEC 17025 Checklist and Report form for IECEE, IECEX, IECQ • Common ISO/IEC 17065 Checklist and Report form for IECEE, IECEX, IECQ • Final Reports submitted to CA System membership for approval 			

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<u>Re-Assessment:</u> Independent review of Assessment team's report prior to submission to Management Committee	Yes – same as initial assessment	Yes – conducted by IECEX Secretariat	Yes – conducted by IECQ Secretariat	
Common Features across CA Systems	<ul style="list-style-type: none"> A review of the Draft Final Report is conducted prior to issue to CA System membership Allows for questioning and seeking of additional information 			
Differences	<ul style="list-style-type: none"> For IECEE additional peer assessors conduct this review For IECEX and IECQ the Secretariat conducts this review 			
<u>Re-Assessment:</u> System Management Committee vote/decide on final report and hence continued acceptance of CBs or TLs	Yes – same as for initial assessment	Yes usually via correspondence in order to prevent delays in waiting for next meeting	Usually done at a meeting but provision is made of acceptance via correspondence	
Common Features across CA Systems	<ul style="list-style-type: none"> CA System membership vote/approve the acceptance of new CBs and TLs Can be done at a meeting or between meetings with voting via correspondence 			
Differences	<ul style="list-style-type: none"> Not aware of any 			

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