Advanced Surveillance and Re-assessment Procedure (ASRP) for TL 9000 Certification

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(Supersedes Alternative Method for Maintaining TL 9000 Registration)

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ASRP is taken from the International Accreditation Forum Mandatory Document for Advanced Surveillance and Recertification Procedures Issue 1 (IAF MD 3:2008). ASRP for TL 9000 Certification contains additional requirements developed by a sub team of the OSWG. The text highlighted in the boxes throughout this document is verbatim from the IAF document and is IAF copyrighted material reproduced here with their permission.

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by the
QuEST Forum
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IAF Mandatory Document for Advanced Surveillance and Recertification Procedures

This document provides normative criteria for advanced surveillance and recertification procedures (ASRP) for consistent application of clause 9.1.1 of ISO/IEC 17021:2006 for determining subsequent adjustments to the audit program. This document addresses only Quality Management Systems (QMS) and Environmental Managements Systems (EMS), in which IAF members have had experience of implementing ASRP or its predecessor methodologies. The use of ASRP is not mandatory, but if an accreditation body wishes to permit their accredited certification body and its client(s) to opt for the use of ASRP, it is a requirement of IAF that the certification body and its client(s) conform to this document and be able to demonstrate conformity to the accreditation body.

0. Introduction

0.1. For a client organization that has established confidence in its management system (QMS and/or EMS) by consistently demonstrating effectiveness over a period of time, the certification body, in consultation with the organization, may choose to apply the Advanced Surveillance and Recertification Procedures (ASRP) provided for in this document. Such an advanced surveillance and recertification program may place greater (but not total) reliance on the organization's internal audit and management review processes, include targeted surveillance topics, take into account specific design input from the organization and/or use other methods as appropriate, to demonstrate conformity of the management system.

0.1.1 The ASRP is a method to determine if an organization's quality management system (QMS) meets the TL 9000 criteria to warrant continuation of an accredited certification by a third-party certification body (CB). The procedure uses performance indicators including TL 9000 and other measurements, customer inputs, e.g., customer report cards, surveys, customer meetings, and the organization's (first-party) internal audit system as a complement to the certification body's oversight process. As noted above, the AB must approve the CB's ASRP process before the ASRP method can be used.

0.2. The objective of this document is to assure the provision of more effective and efficient audits to organizations that have a proven performance record while at the same time maintaining the integrity of the accredited management system certificates they hold.

0.3 This document states minimum requirements for the application of the ASRP. Certification bodies may implement procedures or actions which are more stringent than those contained herein provided that an organization's justifiable request for the ASRP is not unduly or unfairly constrained.

0.3.1 For an organization that has established confidence in its QMS by consistently demonstrating the QMS effectiveness over a period of time, the certification body, in consultation with the organization, may choose to apply the Advanced Surveillance and Reassessment Procedures (ASRP). Such an advanced surveillance and reassessment program may place greater (but not total) reliance on the organization's internal audit and management review processes, include targeted surveillance topics, take into account specific design input from the organization, and/or use other methods as appropriate to demonstrate conformity of the QMS.

0.3.2 The objective of this procedure is to assure the provision of more effective and efficient assessment to organizations that have a proven performance record while maintaining the integrity of the accredited QMS certificates they hold.

1.0 Minimum Requirements

1.0.1 The ASRP is applicable only if a number of requirements (qualification/eligibility criteria) have been met by the organization and by the certification body and can be verified. The ASRP is in general:

1.0.1.1 Available to any organization that meets the qualification criteria, without discrimination with respect to size of sites, number of sites, or sector of industry,

1.0.1.2 Restricted to third-party surveillance and re-assessment audits,

1.0.1.3 Applicable only if the organization's quality management system fully conforms to all TL 9000 requirements as determined by an accredited third-party certification body,

1.0.1.4 Applicable only if the organization meets all requirements outlined in IAF text, and

1.0.1.5 Shall not be used for initial certification audits.

1.1 Prerequisite

In order to utilize the ASRP, the certification body shall first demonstrate to an IAF MLA signatory accreditation body:

a) That it has been operating an accredited certification scheme for the relevant management system (QMS and/or EMS) for a minimum of one complete accreditation cycle.
b) That it is competent to design an ASRP program for each individual organization in the relevant management system (QMS and/or EMS), in accordance with the requirements of ISO 9001:2000 clause 7.3 and using the design input criteria mentioned in clause 1.3.2 below.

NOTE: Reference is made here to ISO 9001 since this specifies the requirements for the certification body to design a program for ASRP regardless of whether it is operating certification of QMS or EMS.

1.2 Accreditation Scope

The competence of the certification body to meet clause 1.1 (b) above shall be assessed by the accreditation body after which, if successful, specific reference to the approval for ASRP for QMS and/or EMS, as appropriate, shall be included in the certification body's accreditation scope.

1.3 Eligibility and Design Input Criteria

The certification body shall inform the accreditation body prior to every new utilization of ASRP for each specific organization, and shall be able to demonstrate that the following criteria in clauses 1.3.1 and 1.3.2 have been satisfied:

1.3.1 Eligibility Criteria

a) The certification body shall confirm that the organization's management system has been in demonstrated conformity with the requirements of the applicable standard(s) for a period of at least one complete certification cycle including initial, surveillance and recertification audits.

NOTE: The certification body may base this confirmation of demonstrated conformity on the outcome of the first recertification audit (non-ASRP) of the organization conducted at the end of a three-year certification cycle.

b) All nonconformities raised during the certification cycle immediately prior to the utilization of ASRP shall have been successfully resolved.
c) For an EMS, the certification body shall confirm that the organization has established compliance with applicable legal requirements and has not had any sanctions imposed by the relevant regulatory authority(ies) for the period of a) above.

d) The certification body shall have agreed suitable performance indicators with the organization, on which to judge the ongoing effectiveness of the management system, and shall ensure that the organization is consistently meeting agreed performance targets.

(i) For a QMS, these performance indicators shall address, as a minimum, the organization's demonstrated ability to consistently provide product that meets customer and applicable regulatory requirements (see ISO 9001:2000 clause 1.1), and shall incorporate requirements for the continual improvement of the effectiveness of the QMS.

NOTE: For a QMS, "indicator" means the characteristic to be measured and "target" means the quantitative/qualitative requirements to be met.

(ii) For an EMS, these performance indicators shall address, as a minimum, the organization's demonstrated ability to achieve its environmental policy, objectives and targets and comply with applicable legal and other requirements related to its environmental aspects (see ISO 14001:2004 clause 4.3.2), and shall incorporate requirements for the continual improvement and prevention of pollution.

NOTE: For an EMS, "indicator" means the characteristic to be measured and "target" used in the context of performance target means the quantitative/qualitative requirements to be met, which is considered to be identical with "environmental target" as defined in ISO 14001.

e) The certification body shall have enforceable arrangements with the organization to provide for access to relevant information. For a QMS, this information is all customer satisfaction data collected or otherwise available. For an EMS, this information is all relevant communication from external interested parties, and in particular the relevant regulatory authority(ies). When it becomes necessary for the certification body to communicate directly with the source of such information in order to validate the information, mutually agreed confidentiality policies and procedures shall be applied.

f) The certification body shall verify that the organization's internal audit process is being managed in accordance with the guidance of ISO 19011, with particular reference to auditor competence defined in clause 7. The internal audit process shall be sufficiently coordinated and integrated so as to provide an evaluation of the management system as a whole, not only the performance of individual components.

g) The certification body shall have contractually enforceable arrangements to enable it to increase the scope, frequency and duration of its audits in the event of a deterioration of the organization's ability to meet agreed performance targets.

1.3.1.1 The organization must meet all additional TL 9000 prerequisite requirements as outlined below:

1.3.1.1.1 The organization's quality management system has fully conformed to the requirements of the TL 9000 standard for a period of at least three years, or more as determined by the AB.

1.3.1.1.2 An organization using ASRP for its ISO 9001 certification and subsequently adds TL 9000 certification to its QMS would no longer be eligible for ASRP until requirement 1.3.1.1.1 is met.

1.3.1.1.3 The organization shall notify in writing its selected customers of their intent to apply for ASRP. (see TL 9000 Quality Management System Requirements Handbook 5.2.C.2)

1.3.1.1.4 The organization shall verify that its customer contracts/requirements do not prohibit the use of ASRP for TL 9000 certification.

1.3.1.1.5 If a contract does prohibit ASRP the organization shall not seek ASRP or may choose to terminate the customer contract prior to pursuing ASRP. Late submissions of TL 9000 measurements that may have generated a nonconformity, measurement probation, or TL 9000 suspension would need to be successfully resolved (closed), along with all other NCR's.

1.3.1.1.6 The required TL 9000 measurements shall be part of the performance indicators identified by the organization and agreed to by the CB; however, the measurements should not be the only performance indicators. See above for additional guidance on the performance indicators to be selected.

1.3.1.2 The organization's internal auditor's qualifications shall conform with the Quest Forum document "TL 9000 Qualifications and Experience Requirements for TL 9000 Registrar Auditors", formerly Appendix G, located on the TL 9000 website,

http://tl9000.org/tl_resources/reg_guidance/TL_9000_Auditor_Qualifications_R2.pdf .

The one exception to this requirement is that the organization's internal auditors do *not* need to conform to additional requirements the CB may have for its own auditors.

1.3.1.3 The organization must have a mature and effective central internal audit program.

1.3.1.4 The organization must conduct an internal audit(s) covering all processes at a minimum of once per year.

1.3.2 Design Input Criteria

In addition to organization-specific input criteria, the design of each individual ASRP shall address the following:

a) The frequency and duration of the certification body audits shall be sufficient to allow the certification body to conform with this criteria document including the following b) and c), among others.

For each proposed utilization of ASRP, the certification body shall determine the base level (non-ASRP) auditor time using relevant IAF Guidance or Normative Criteria Documents, and, if applicable, IAF NCD Z for sampling of multi-sites. If the certification body plans an individual ASRP program that reduces the auditor time to less than 70% of this base-level, the certification body shall justify such reductions and seek specific approval from the accreditation body prior to its implementation.

NOTE: IAF Mandatory Documents applicable to auditor time for QMS and EMS are under development. Until such documents become available, Annex 2 of IAF GD2 (and, where applicable, Annex 3) and Annex 1 of IAF GD6 (and, where applicable, clause G5.3.6) should continue to be applied to define the total audit time (Phase 1 + Phase 2).

b) In addition to auditing a statistically significant number of samples of the organization's management system processes to confirm the adequacy and effectiveness of the internal audit process, the certification body itself shall continue to carry out the following activities at each on-site surveillance and recertification audit, as a minimum (with other activities defined by the ASRP; see clause 1.4 below):

• interview top management and the management representative;

• evaluate management review inputs and outputs, including a verification of the organization's ability to meet the agreed performance targets;

• review the internal audit process, including the procedures and records of internal audits, and the competence of internal auditors; and

• review corrective and preventive actions plans, and verify their effective implementation.

c) The certification body shall ensure that all the requirements for accredited certification (including the requirements of ISO/IEC 17021:2006 and any applicable sector scheme) continue to be met.

1.3.2.1 The CB must follow the process for designing its ASRP program (by organization) as outlined in IAF Guidance above.

1.3.2.2 The CB must meet all additional TL 9000 procedure design requirements as outlined below:

1.3.2.1.1 The CB should thoroughly analyze the organization's TL 9000 measurement data as part of the organization-specific input criteria in designing each individual ASRP. This analysis should include examination of trends and reasons for poor performing cycles, determination if the organization is looking into root causes of poor results, and verifying there are corrective actions in the organization's action register(s) to address poor results. This data shall be provided to the CB during the design process and prior to ASRP implementation.

1.3.2.1.2 The CB shall verify the organization has notified its selected customers of their intention to apply for ASRP. (see TL 9000 Quality Management System Requirements Handbook 5.2.C.2)

1.4 Design Output

The design output for each application of the certification body's ASRP program shall include the following (a) – (f):

a) The extent to which the certification body will utilize the organization's internal audit and management review processes to complement the certification body's activities;

b) Criteria for witnessing the organization's internal audits, including sampling of both auditors and processes to be audited;

c) Criteria for accepting and monitoring the competence of the organization's internal auditors and the method of reporting internal audit results;

d) Criteria for ongoing adjustments to the audit program, taking into account the organization's demonstrated ability over time to meet the agreed performance targets;

e) The components of the management system that will necessarily be audited by the certification body at each surveillance and recertification audit (see clause 1.3.2 b); and

f) Specific competence criteria for certification body auditors and, where applicable, for technical experts.

1.4.1 The organization and CB must follow the requirements as outlined in the IAF text above.

1.4.2 The organization and CB must meet all additional TL 9000 requirements as outlined below:

1.4.3 The CB shall audit the following processes during each CB visit as applicable:

1.4.3.1 The organization's measurements implementation and reporting processes, including data sourcing, results gathering, application of counting rules, measurements validation, measurement data quality management, and submission of those measurements.

1.4.3.2 The organization's use of measurement results, including application of statistical process control, management against targets, identification of special causes (versus normal variation) and analysis of performance problem root causes.

1.4.3.3 The effectiveness of the organization's correction, corrective and preventive action processes.

1.4.3.4 The organization's executive management commitment to and involvement in the organization's QMS.

1.4.4 The CB shall conform to the TL 9000 auditor time requirements, including the minimum amount of time to be allocated for review of measurements and measurement process as defined in the TL 9000 Auditor Time Chart.

1.4.5 If an organization using ASRP for its TL 9000 certification merges with another organization due to an acquisition, buyout, etc., the organization shall notify their certification body immediately.

1.4.5.1 The certification body shall initiate within 90 days the process to determine if the "new" organization continues to conform to ASRP requirements by re-designing the ASRP for the organization, taking into account organizational and system changes.

1.4.5.2 Depending on the changes and/or the results of the ASRP re-design the certification body may have to re-initiate or cease ASRP with the organization.

1.4.5.3 If significant design changes are determined to be required the certification body shall notify the accreditation body.

1.5 Certificates

The certification body shall not differentiate between ASRP and non-ASRP methodologies on the certificates it issues.

1.5.1 If the organization or CB determines that the TL 9000 certification has deteriorated, including suspension (e.g., suspension due to late TL 9000 measurement submissions), the ASRP shall cease. In addition, the organization will have to re-apply for ASRP (i.e., per 1.3.1.a of IAF text above, the organization's QMS, including TL 9000, has been in demonstrated conformity with the requirements for a period of at least one complete certification cycle including initial, surveillance, and reassessment audits).

1.6 Accreditation Body Responsibilities

1.6.1 It is the responsibility of the accreditation body (AB) to oversee certification bodies that have requested to use ASRP with an organization.

1.6.2 The AB must follow the requirements as outlined in IAF Guidance above.

1.6.3 QuEST Forum will review the AB's process for overseeing ASRP as follows:

a) Upon initial approval of an AB becoming recognized by QuEST Forum and during re-approval of the AB, or

b) Upon the AB's first usage of this process

1.6.4 The AB shall report to QuEST Forum on an annual basis the number of organizations using ASRP for TL 9000 certification