REPORT OF THE 22nd CPC MEETING

(Chairman's Policy and Coordination Group)
Held on 23 September 2014 (9:00 p.m.-5 p.m.), Geneva, Switzerland

ITEM 1 – OPENING OF THE MEETING

1. The Chair, <u>Lane Hallenbeck</u>, opened the meeting. He welcomed the participants who then introduced themselves. The list of participants is attached at the end of this report.

ITEM 2 – ADOPTION OF THE AGENDA

2. <u>The Chair</u> asked any objections or addition.
3. The agenda was adopted without any changes.

ITEM 3 – REPORT OF THE LAST MEETING AND FOLLOW-UP ACTION ITEMS NOT OTHERWISE COVERED IN THIS AGENDA

4. <u>The Secretary</u> went through the report of the last meeting and informed the participants of the outcomes of the items that were not on the agenda for this meeting.
5. On page 6, item 4.8 on the Suppliers' Declaration of Conformity (SDoC), the task group had not been set up but more information would be given in the STAR report to this meeting.
6. On the list of actions from the last meeting, the Secretary confirmed items 1 to 4 and 7 were completed. On item 5 and World Standard Cooperation (WSC) workshop proposal on conformity assessment the discussion would resume between ISO, IEC and ITU in October and the event would take place early 2015. Item 6 on the outcome of the roundtable discussions from the 2013 plenary to be discussed under agenda item 5.1

ITEM 4 – POLICY ISSUES

4.1 Update on the ISO database of certified organizations

7. <u>The Chair</u> informed that the project was cancelled and gave floor to Kevin McKinley, ISO deputy Secretary General, for a brief summary of the status.

8. <u>Kevin McKinley</u> informed a pilot project was set up to investigate the viability of a database of accredited certified organizations. Although the major certification bodies and industry were initially supportive of the project it became clear that as the pilot project progressed this support was lacking. The ISO Council agreed a proposal by the ISO Central Secretariat to drop the project. ISO Council was looking at alternative ways to improve the visibility and traceability of certificates.

9. <u>Alister Dalrymple</u> informed the French mirror committee is discussing possible ways of improving the traceability of certificates and in turn increase the credibility of conformity assessment. It is possible that the French mirror committee would submit a NWIP on this topic.

10. The Chair opined that the quest for solutions should not be abandoned even if this project was cancelled, and that the issue of ISO brand and the fraudulent use of certificates required a sustainable solution.

4.2 CASCO Balance Scorecard 2014

11. The Secretary recalled the Balanced Scorecard (BSC) reflected the ISO strategic plan and a new version had been issued to include of ISO Key Strategic Objectives. The document is updated every year. He highlighted some of the actions:
    - The STAR discussed how to become more stakeholder orientated and decided there was a need for further analysis on how to organize a forum but rejected the idea of modifying rules that defined the composition of the group;
    - The online Survey for the CASCO members and liaisons was not done for technical reasons but the satisfaction survey after each CASCO meetings would continue. There were not many suggestions for improvement from the surveys but the attendance forms had been changed to better reflect the representations;
    - The annual reminder to members on the obligation of voting in DIS and FDIS has been sent;
    - The use of WebEx was difficult when outside of ISO central secretariat for technical reasons but there was a greater understanding of the needs for a successful connection;
    - Information such as the number of meeting, the participation rate of developing countries and information on the activities of the CASCO secretariat is all contained in the dashboard that is updated twice a year.

12. Mario Wittner described his participation in some meetings with WebEx and suggested it would help using the video to better visualize the meeting. The secretariat will undertake to look into this for future meetings.
13. Heribert Schorn highlighted the positive fact of organizing a WebEx in each of the CASCO meetings.
14. Nigel Carter commented on the dashboard and asked for the reason of lower participation from European delegates in the last two plenaries. The Secretary responded the two plenaries we held outside of Europe. Cynthia Woodley suggested adding the plenary location on the top of the table for better understanding of the figures.
15. Carlos Ruiz-Garvia likewise asked about the share of developing country experts in CASCO working group meetings. The Secretary answered that unlike recent plenaries, most WG meetings are in Geneva, making their participation more difficult.
16. Caroline Outa informed they are building capacities in East Africa for allowing a greater participation via WebEx but conceded the good flight connection to Geneva making it a better location than some other cities in the world.

4.3 ISO Survey on MSS.

17. Laurent Charlet presented the results of the 2013 Survey which were released on 10 September. He referred to the ISO webpage that contained the full results in the Excel files that can be downloaded and the interactive map of the world allowing a quick search of the number of certificates per country and per standards. On the increase in the number of certificates he explained it is partly due to the greater participation of CB's in the survey this year.

18. Alex Ezrakhovich asked if the figures are only provided by certification bodies accredited by IAF members. Laurent Charlet confirmed it was the case.
19. Mario Wittner mentioned it would be interesting to see how many products refer to ISO standards both in terms of number of certificates and of self-declarations.
20. Christian Priller explained it was very hard to know the number of certificates for product certification and informed when doing the PowerPoint presentation on ISO/IEC 17065 there had been an attempt to collect data but without great success.
21. Graeme Drake suggested looking at the national adoptions of those standards to have an indication. The Secretary explained it would be a very difficult task as there are many standards, while some notable economies (e.g., USA) do very few national adoptions.
22. The Secretary informed that the publication target is June but some major certification bodies fail to deliver their figures on time. This is an on-going issue which continues from year to year and requires a lot of resources from CASCO.
23. The Chair reiterated that the abandoned certification database effort would have added much accuracy, timeliness and value to this effort.

4.4   CASCO Road Map

24. The Secretary highlighted the documents that are scheduled for systematic review ballots. The revision of Guide 34 would convert it into an international standard under lead of CASCO (in coordination with REMCO). The NWIP for ISO/IEC 17025 ballot closed a few days before the meeting with a positive result and the revision would start late 2014 or early 2015.
25. Alex Ezrakhovich suggested to expedite the revision of part 3 of ISO/IEC 17021 earlier than foreseen to align it to new text of ISO 9001.
26. Graeme Drake asked if with the new version ISO 9001 the auditing would be different. Alex Ezrakhovich informed the introduction of terms like "risk based thinking" and the emphasis on "process approach" would bring changes and that there could be a need to amend the Parts to ISO/IEC 17021 to integrate those changes. Alister Dalrymple, mentioned the table of annex A of ISO/IEC 17021 will remain unchanged so there won't be fundamental changes for the Parts but suggested delaying their revision to match the end of the transition date of new ISO 14001 and ISO 9001. Alex Ezrakhovich agreed but there could be a need to look at the Parts once ISO 9001 is published to determine if adjustment is required.
27. The Secretary suggested the date for the systematic review of Part 2 be decided at CPC in May 2015 .
28. The Secretary informed that REMCO do not see great changes to the Guide 34 and that a REMCO task group will submit a proposal to the working group for its first meeting and the revision will start under the usual process.

4.5 PAS documents

29. Christian Priller informed the work is finished with the members agreeing with the working group output.
30. Monika Wloka mentioned the importance of the CASCO members being consulted as this continues to be mandatory to CASCO standards. The Secretary informed a proposal has been submitted by ANSI suggesting a process for future revision where it specifies any revision will be done by a working group and the members will be consulted for ballot and comment. Alister Dalrymple mentioned the possibility for members to comment was not specified in the proposal. Christian Priller explained there was no other ways of revising this document than from the usual CASCO documents. Cynthia Woodley gave precision on the ANSI proposal that there could be no changes in the content without consultation of the members. The Secretary confirmed despite being an internal procedure, the revision process

will be the same as for other CASCO documents. Graeme Drake explained it would be subject to systematic reviews and if agreed to revise the document it should follow the process of a technical report with a ballot and a commenting period. Heribert Schorn stressed the importance of having at least one commenting period. German Lombana suggested either to put the document in an annex of the ISO Directives as requirements for conformity assessment bodies or in an annex to ISO/IEC 17000. Alister Dalrymple suggested the type of document or development path should not be decided by the working group but there was a need to stipulate that at least one round of commenting period was necessary and leave the working group decide to organize more rounds of consultation if relevant.

31. The CPC agreed and decided to augment the ANSI proposal to add specifically that members would have the opportunity to comment.

4.6 Brochure on the benefits of Suppliers Declaration of Conformity (SDoC)

32. The Chair informed this was discussed at the TIG meeting and there were sensitivities expressed by CASCO members in particular on the use of the words "benefit" and "promotion". There was agreement to start working on the document but the words will be changed to avoid misinterpretation. The objective of this brochure was to educate the market on the meaning and use of SDoC.

33. The Secretary informed there was a recommendation from STAR to set up a task group to review the content of the draft SDoC document. The outcome would likely be to integrate the SDoC document with the online tool for regulators.

34. Heribert Schorn informed SDoC was widely used in Europe justifying the need to provide more information.

35. Randy Dougherty highlighted the value of ISO/IEC 17050 where suppliers were supposed to have the evidence of complying available but agreed with doubt that the market properly understands this.

36. Mario Wittner mentioned that in the WTO TBT agreement the value of SDoC was linked with the need to have a strong market surveillance system which was often missing in developing countries. The brochure should explain the importance of this link.

37. Graeme Drake encouraged to use the wording that it is on the online tool for regulators. Often SDoC is referred only for low risk products but some see it as the best form of conformity assessment for all levels of risks, and this should be explained.

38. Roger Bennett informed of the danger for the standard owners of SDoC misuse and gave the example of a BSI standard set of requirements which were not met despite the company self-declaring conformity.

4.7 Revision ISO/IEC 17011, ISO/IEC 17025 and revision of Guide 34 (REMCO) -

39. The Secretary mentioned this information was given under agenda item 4.4 CASCO road map.

4.8 ILAC & the OECD: Good Laboratory Practice versus accreditation position paper

40. Graeme Drake reported the TIG recommended not to put the ISO name on this document and to suggest to the OECD to hold publication until having consulted formally ISO and ILAC. The document contained a number of minor inaccuracies and tended to be biased towards GLP.
41. Yasuhiro Ogata informed the Japanese mirror committee also recommended CASCO not to endorse the document and that it should be a standalone OECD document

4.9 Proposal from BSI for a policy to remove the Guides from the CASCO Toolbox

42. Nigel Carter referred to the BSI proposal and invited Ian Cleare to give further precisions.
43. Ian Cleare stated it is a proposal to tidy up the toolbox in line with current ISO policy on the development of Guides and propose a way forward for the existing CASCO Guides. The BSI proposal suggested three options; to convert them into international standards, to take the content into some of the existing document or withdraw them.
44. Graeme Drake agreed with the proposal but commented on the need of recognizing the issue of the use of marks (Guide 27).
45. Heribert Schorn, suggested to wait for the next systematic review ballots as they were not priority documents for CASCO.
46. Ian Cleare indicated that this was the intention of the BSI proposal to wait until the next ballot and decide on their future afterwards.
47. Mario Wittner highlighted the implications of changing the status of those guides as many CASCO standards refer to those Guides i.e. ISO/IEC 17065.
48. The CPC reached consensus with second paragraph of BSI proposal and to decide on their future at the time of the next review. If BSI decided to submit a NWIP related to any of the Guides it will be treated in the normal manner for a NWIP.

4.10 ISO CASCO dashboard

49. The document was noted.

4.11 ISO strategic plan 2016 to 2020 – result of consultation

50. Kevin McKinley referred to a presentation and reported that many (over 90; more than twice the previous plan) ISO members replied to the consultation but also global and regional organizations and governance bodies such as CASCO. ISO is reviewing all the comments to develop a framework that would be looked at before the final approval at the next ISO General Assembly. He further mentioned the importance for ISO to stay relevant as there are many alternatives to international standards and several initiatives and fora are running in parallel.
51. The Secretary thanked all the CPC members who commented and reminded they are contained in the document N236 distributed before the meeting.

4.12 ISO 9001:2015 revision

52. Alex Ezrakhovich informed the DIS of ISO 9001 and ISO 14001 were being balloted at the time of the meeting. The plenary meeting of TC 176 had been cancelled. There were considerable changes in the standard (structure and concepts) but would be modest for any organization having a quality system already in place. The committee was working in parallel

on the revision of a new ISO 9002, now to be guidance on implementation of ISO 9001 with the first meeting being held last June.

ITEM 5 – ISO CASCO PLENARY

5.1 Plenary 2013 task group on outcome of the roundtable discussions

53. Graeme Drake stated one outcome of the roundtable discussion from the 2013 plenary suggested that a guidance on validation and verification was needed. The CPC established a task group in April 2014 which worked on a proposal of NWIP for a guidance document using the CASCO common structure. BSI submitted comments on the proposal, prior to the CPC meeting. The TIG discussed and agreed to put the NWIP on hold and continue the analysis to make further recommendation to the CPC at its next meeting.
54. CPC agreed with the TIG proposal

5.2 Plenary 2014 –potential issues

55. Cynthia Woodley informed ANSI would question the proliferation of brochures from CASCO to better understand their motivation, development process and status.
56. Kevin McKinley mentioned the general policy to give information about the standards and provide guidance on the context. The technical committees are always involved when there is technical content to be developed.
57. The Secretary answered the CASCO policy is to have the CPC always reviewing the content of any brochure or other non-consensus document. Task groups developing these publications are either from the TIG, the STAR or the CPC but their content is always reported to the CPC.
58. Alex Ezrakhovich mentioned the central secretariat should be trusted for any informational document.
59. The Secretary described the programme of the plenary and workshop.

5.3 Plenary 2016 – dates

60. The Chair informed the Secretariat is in contact with ESMA for the 2016 plenary which would take place either last week of April or first of May 2016 with exact dates to be confirmed before next CPC.
61. Chantal Guay conveyed SCC's offer to host CASCO plenary 2017 which will probably take place in Vancouver. The dates will be communicated later.

ITEM 6 POLICY GROUP REPORTS

6.1 Strategic Alliance and Regulatory group (STAR)

62. The Chair informed the CPC of the key outcomes of the STAR meeting:

- On the revision of ISO 9001, the STAR agreed to notify the TMB with regards to group's concerns related to the different publication dates and with regard to the definition of risks which is different to than in other ISO documents;
- The STAR supported the development of a brochure to provide information and educate ISO technical committees that write certification schemes for persons;
- To will develop material on supplier's declaration of conformity which will first review and adapt existing material. The content to be reviewed by the task group;
- To engage in further work on a stakeholders' forum project for discussion and decision at the next meeting.

6.2 Technical Interface Group (TIG)

63. <u>Graeme Drake</u> reported the outcomes of the TIG meeting held on 22 September where three decisions were relevant to CPC:
    - On the OECD position paper comparing GLP and ISO/IEC 17025, the TIG disagreed with the proposed options and will discourage OECD to publish it until they have consulted other stakeholders for their inputs.
    - The TIG recommended the CPC to set up a task group to develop a brochure on the development of certification schemes for persons focused on ISO/IEC 17024 under the same format as the Do's and Don'ts for standards writers. This could be used and adapted to explain the broader question of schemes later, if needed.
    - On the guidance document on good practice for verification and validation bodies, TIG failed to reach consensus on the NWIP prepared by a task group and recommended to CPC to engage in further work to better define the needs and the options available for the way forward.

ITEM 7 – TECHNICAL PROGRESS REPORTS

7.1 WG 21: Certification of management systems

64. <u>Randy Dougherty</u> informed a drafting group met in May 2014 and reviewed and proposed responses to all comments in advance of the meeting of the full working group in June. The working group agreed upon responses to all of the comments, made changes to the document and decided to go for a second DIS. The ballot opened in August and would close in November 2014. The next and probably final meeting of the working group would be from 20 to 22 January 2015.

65. <u>The Secretary</u> mentioned all the requirements of ISO/IEC TS 17022 were now in ISO/IEC 17021-1 so WG21 recommended the CPC to withdraw ISO/IEC TS 17022. CPC agreed and referred it to the plenary for decision.

7.2 WG 32: Fundamentals of product certification and revision of Guides 53 and 28

66. <u>Ian Cleare</u> reported the CD ballot that closed early September and passed with 140 comments submitted and that WG32 would meet for the last time from 28 to 30 October 2014. He informed that the convenorship will be handed over to Christian Priller after the plenary as Ian will retire from CASCO work.

7.3 WG 40: Business continuity management systems

67. <u>Randy Dougherty</u> reported the DTS closed in July 2014 and was largely approved and the JWG40 will hold a WebEx meeting from 18-19 November 2014 in order to address the few outstanding comments and prepare the document for publication, expected by the end of 2014.

7.4 WG 41: Road traffic safety management systems

68. <u>Alister Dalrymple</u> reported the DTS closed in July 2014 and was largely approved. He mentioned given the limited amount of comments received, the group would not meet and the comments have been handled electronically. The TS is expected to be published by the end of 2014.

ITEM 8 – ANY OTHER BUSINESS
69. <u>Monika Wloka</u> informed about CEN CENELEC members concerns on the possibility for an ISO member to submit a NWIP on a document that has been confirmed in a systematic ballot as it bring some instability into the system. This was noted by the CPC.

ITEM 9 – DATE AND PLACE OF NEXT MEETING
70. The next meeting will be held on 7 May 2015 and on 26 October 2015.

ITEM 10 – CLOSING
71. The Chair closed the meeting and thanked participants for their contributions

Action item #	Action required	Responsible	Due Date
1	**Revision of PAS** Amend ANSI proposal to include the opportunity to members to submit comments in the consultation period	CASCO Secretariat	

LIST OF PARTICIPANTS

Convenor   Mr. Lane Hallenbeck, Chairman of ISO CASCO

Members   Mr Nigel Carter BSI (UK)
Ms Chantal Guay (SCC)
Mr. Jacques Levet AFNOR (France),
Mr. German Lombana ICONTEC (Colombia), **by webEx**
Mr. Yasuhiro Ogata JISC (Japan),
Ms. Caroline Outa-Ogweno, KEBS (Kenya)
Dr. Heribert Schorn DIN (Germany),
Ms Yolanda Villaseñor AENOR (Spain),

Mr. Ian Cleare, Convenor of WG 32
Mr. Alister Dalrymple, Co-Convenor of WG 21
Mr. Randy Dougherty, Co-Convenor of WG 21
Mr. Graeme Drake, Convenor of TIG
Dr. Cynthia Woodley, Co-Convenor of WG-42

Liaisons   Mr. Hiromichi Fujisawa IEC/CAB
Mr. Alex Ezrakhovich (ISO TC 176)
Mr Peter Unger (ILAC)
Mr Carlos Ruiz-Garvia (UNFCCC)
Mr Roger Bennett (IIOC)
Mr. Christian Priller, (CEOC)

Observers
Dr Monika Wloka (CEN CENELEC)
Mr Joe Bransky (IATF)

Guests
Mr Sergey Migin (Federal Accreditation Service, Russia)
Mr Mario Wittner (INLAC)

Secretariat   Mr. Sean Mac Curtain, ISO CASCO Secretary
Mr. Laurent Charlet, ISO Project Manager
Mr Kevin McKinley, ISO Deputy Secretary General

Apologies   Bo Yumin, SAC (China)
Elva Nilsen, IAF
Mike Peet, UNFCCC