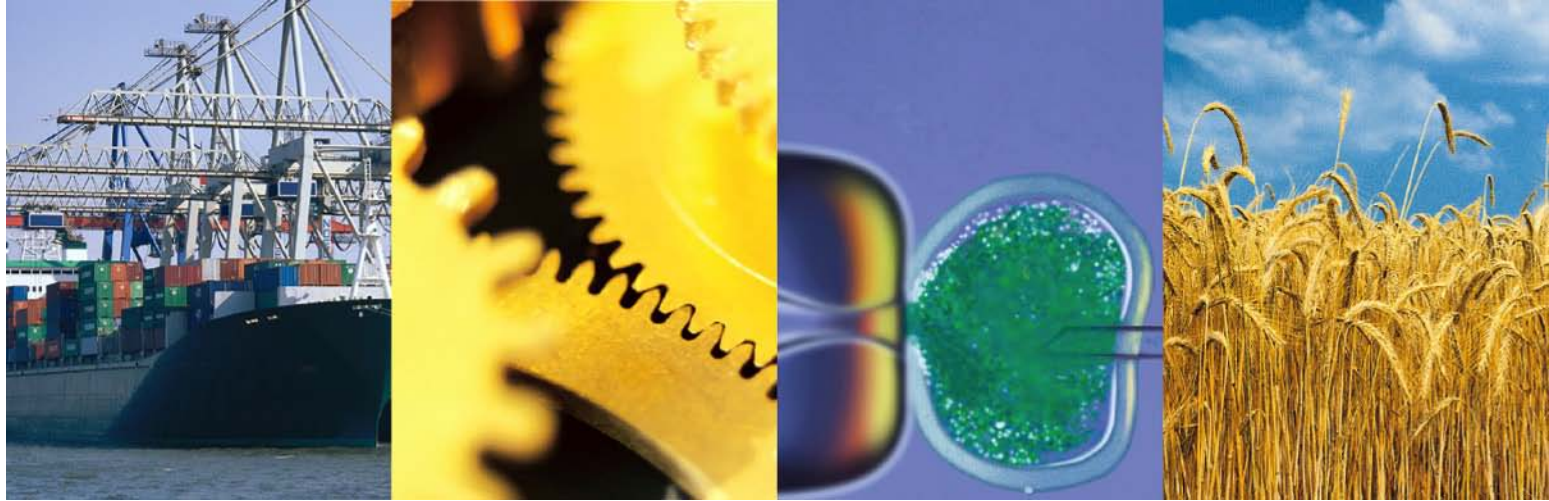


Conformity Assessment and the CASCO Toolbox



Sean Mac Curtain
CASCO Secretary
IAAC General Assembly Seminar
Quito August 2011

Agenda

- Introduction to ISO
- CASCO structure and Operation
- Developing CASCO Standards
- CASCO Toolbox
- CASCO Principles
- CASCO Projects
- Questions

Introduction to ISO

Standards for a better world

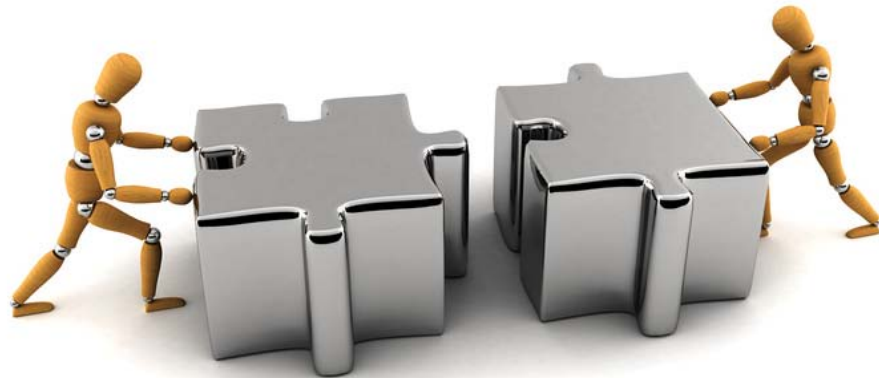


For more about ISO's work programme as it affects consumers, see the ISO Directory for consumer interest participation: www.iso.org/COPOLCO_interest

* In collaboration with IEC.

ISO's Mission

ISO develops **high quality voluntary** International Standards which **facilitate** international exchange of goods and services, **support** sustainable and equitable economic growth, **promote** innovation and **protect** health, safety and the environment



The World Standards Cooperation (WSC)

The leading international standardization organizations



- Multi-discipline and cross-sector



- For electrotechnology



- For telecommunications

Collaborate to meet the challenges of converging technologies

ISO – A Global System

Updated on 7 February 2011

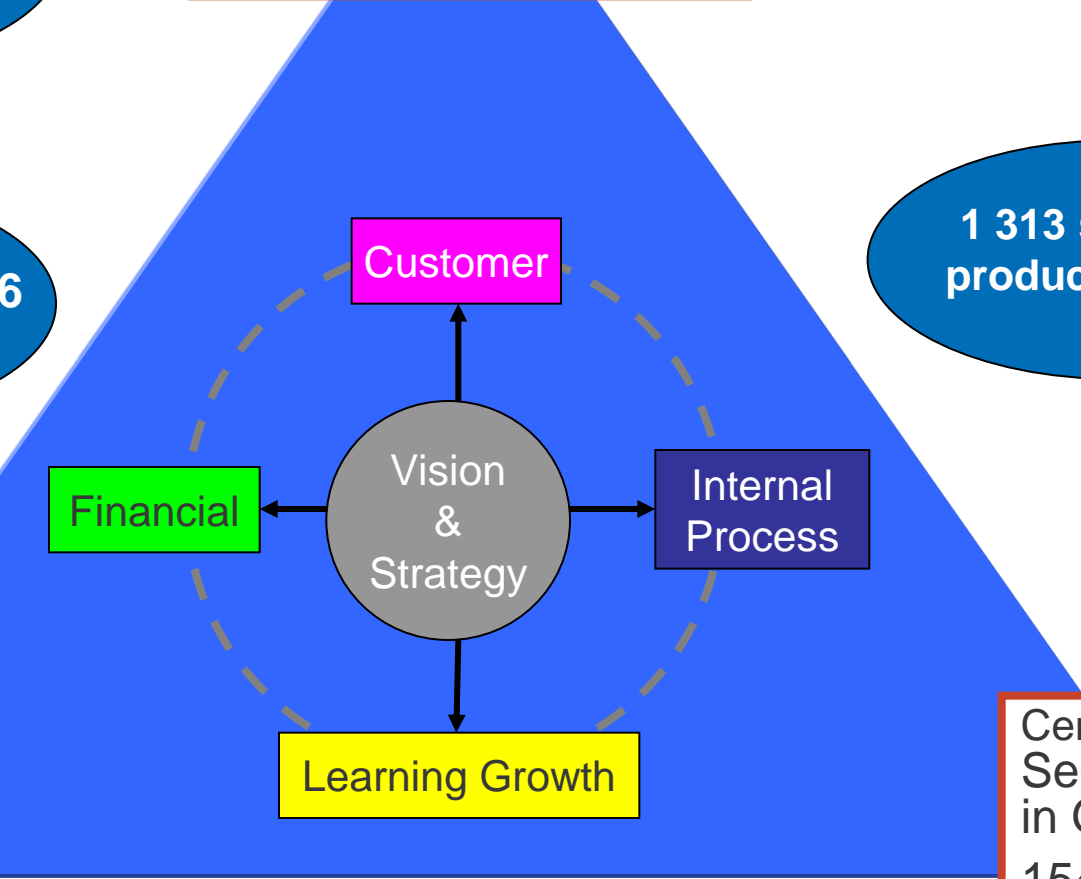
Over 600 organizations in liaison

160 national members
5 000 people
98% of world GNI
97% of world population

Collection of 18 536 ISO Standards

1 313 standards produced in 2010

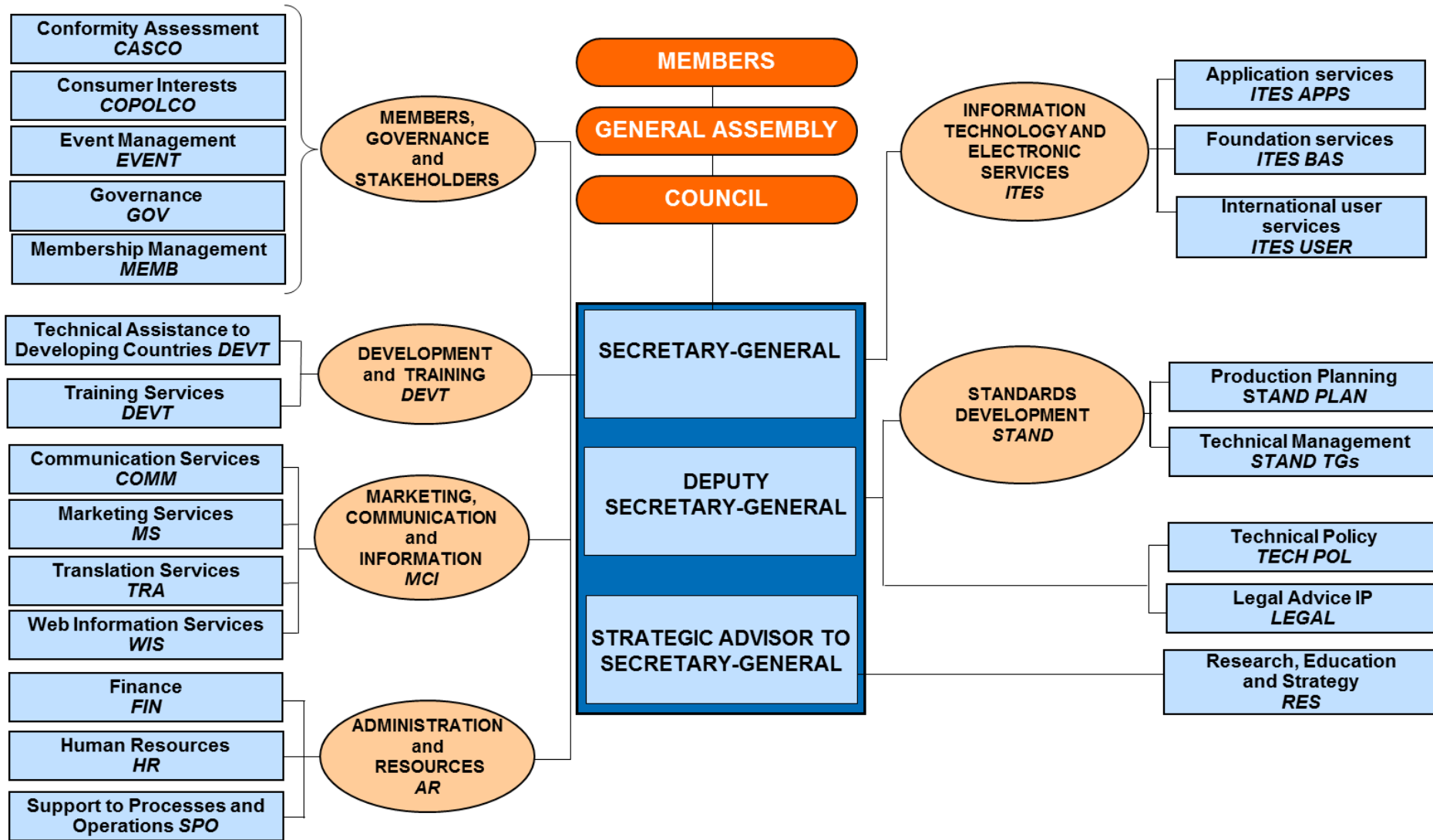
203 active TCs
3 274 technical bodies
100 000 experts



Central Secretariat in Geneva
154 FTE staff



Central Secretariat Organization Chart

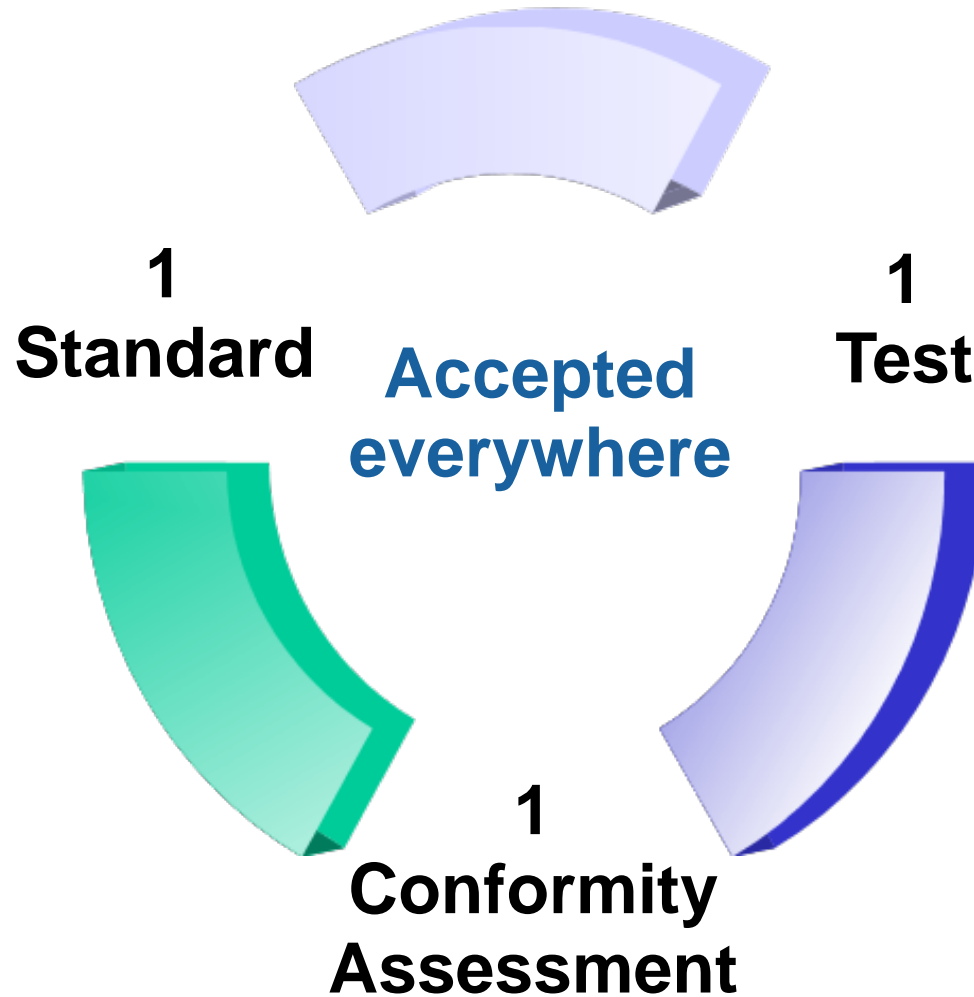


Double layer of consensus for ISO standards

- At the level of **delegates/experts** who participate in technical committees, sub-committees, working groups, i.e. industry specialists, technologists, users, consumers, etc.
- Then, at the level of **countries** through their national standards bodies (NSBs), involving all stakeholders in national mirror committees

CASCO Structure and operation

The 1-1-1 dream of Conformity Assessment



ISO/CASCO structure

- **112 ISO members** are represented in CASCO (70 participating members and 42 observers).
- 19 international organizations are **liaison members** of CASCO: BIPM, CEOC, CAC, EFAC, EOQ, Eurolab, IAF, IFAN, IFIA, IIOC, ILAC, INLAC, IPC, IQNet, ITU-T, OIML, UILI, UNFCCC and IEC.
- Both policy and technical work
- Continual improvement cycle



Chairman's Policy and Coordination Group (CPC)

- Gives recognition to the policy role of CASCO and oversees the internal coordination of the CASCO subgroups
- Studies conformity assessment issues
- Sets priorities for current and future CASCO work items
- Creates possible recommendations for endorsement by CASCO on conformity assessment

Strategic Alliance and Regulatory Group (STAR)

- Provides mechanism for industry sectors and regulators to interact with CASCO
- Alerts CASCO of sector and regulator activity in conformity assessment
- Forum to discuss conformity assessment concerns of industry sectors and regulators
- Promotes the CASCO toolbox to international agencies (regulators) and sectors
- Members:
 - CASCO Members (13);
 - A-Liaisons (5): IEC, IAF, ILAC, IQNet, CAC;
 - Special Members (4): EC, IATF, IRIS, UNECE, UNFCCC
- Addresses for issues related to workshops , market surveillance, monitoring the credibility of certification of MSS

Technical Interface Group (TIG)

- Focused on the technical relationship between CASCO and ISO/TC's to ensure:
 - A harmonized approach by all TC's to conformity assessment
 - CASCO conformity assessment policies are understood and adhered to where relevant
 - The provision of advice internally in ISO on conformity assessment
 - The provision of advice to TC's on the design and development of sector specific schemes where justified

CASCO Interpretation Process

- Provides a uniform consistent approach to interpretation and maintenance of existing standards and guides
- Responses are available on ISO website
- Accepted as the official interpretation structure
- Ten interpretations done to date
 - ISO/IEC Guide 65
 - ISO/IEC 17021
 - ISO/IEC 17011

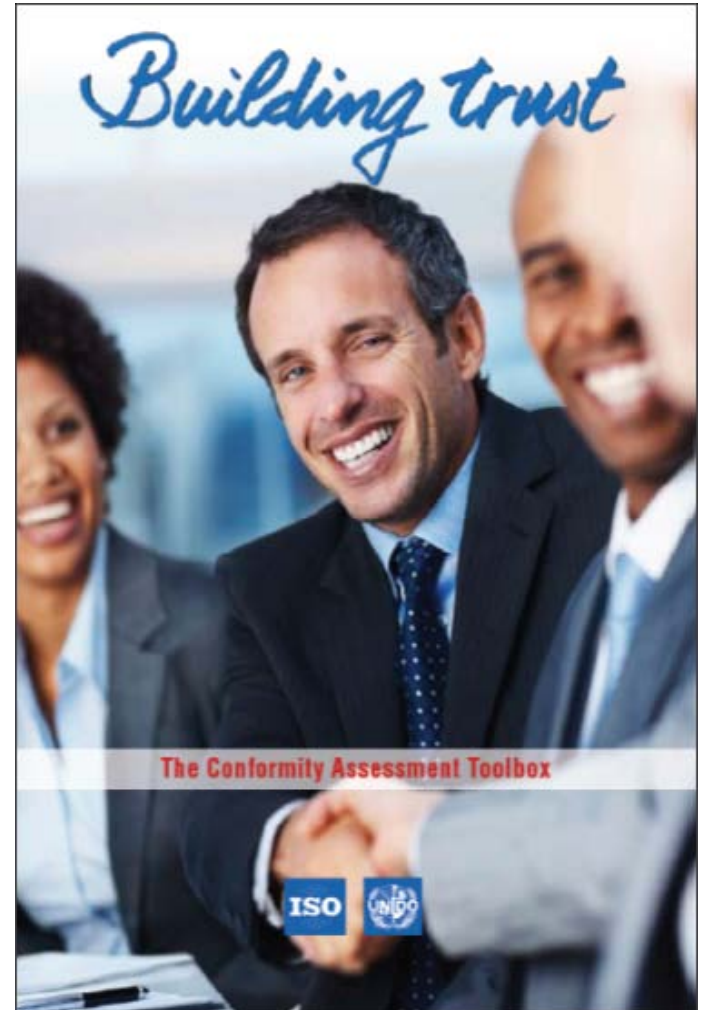
Developing CASCO Standards

ISO/CASCO develops standards using *some key principles*

- Transparency *
 - Openness *
 - Consensus and impartiality *
 - Market relevance and effectiveness *
 - Coherence *
 - Development dimension *
 - Stakeholder engagement
 - Due process
 - National implementation/adoption
- ** explicit principles for the “development of international standards, guides and recommendations with relation to articles 2, 5 and Annex 3 of the WTO/TBT agreement”*

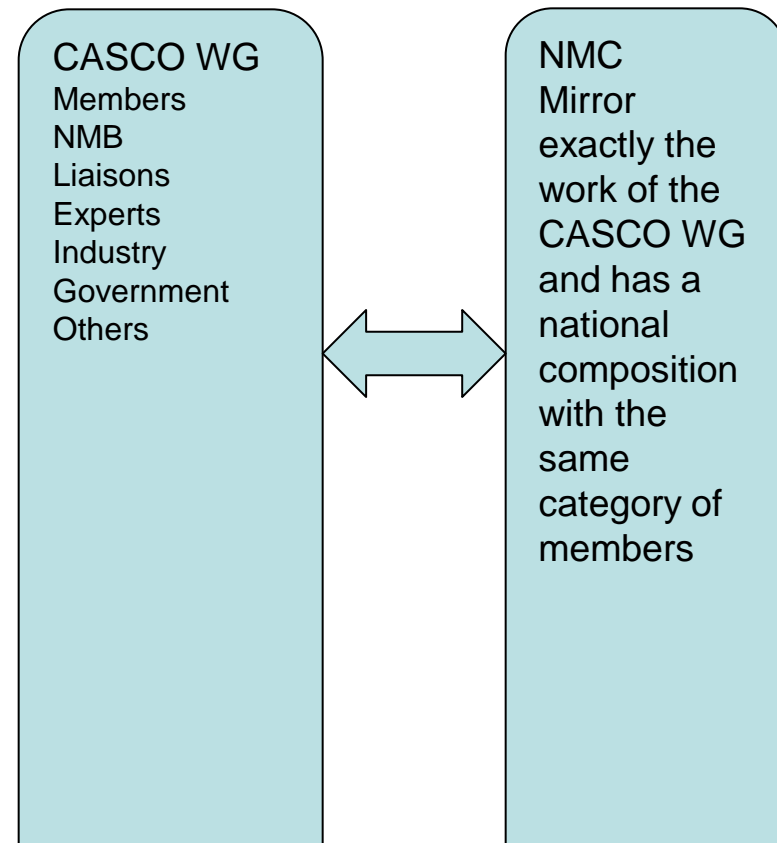
CASCO Working Groups

- ISO/CASCO P Members nominate to the WG.
- **A-Liaison** members nominate to WG. **D-Liaison** can be established between an organization and a WG.
- They are nominated as experts and required to input as **experts. WG group members act as independent experts not as national delegates.**
- The WG develops a Working draft document (**WD**). It evolves into a Committee Draft (**CD**) document.
- The CD goes to member bodies who distribute to **NMC** (NMC) for CASCO.
- At this stage no longer the experts but the national consensus comments.
- Responsible for the development of the document (Standard/Guide) (DIS and FDIS and publication).



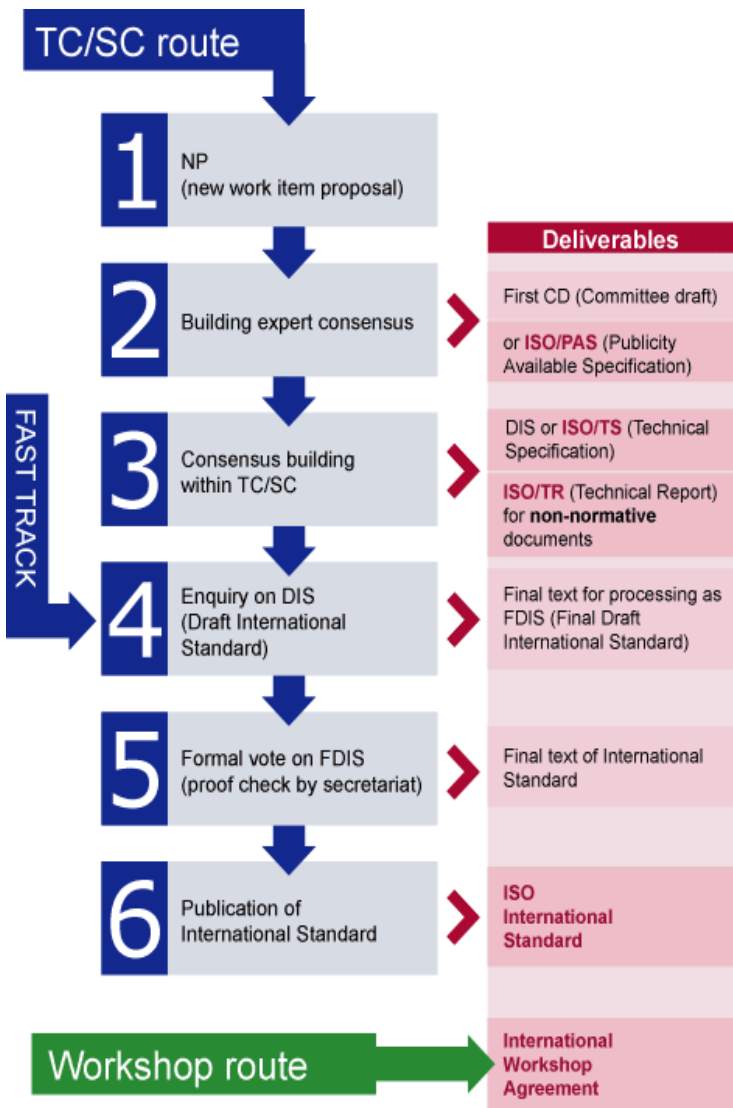
National Mirror Committees

- At the Member Body (MB) level it is important for the MB to have a balanced NMC to get a double level of consensus (MB and Stakeholders)
- Provide Mechanism for Stakeholders and Industry
- National Consumers
- National Regulators
- Other Interested Parties
- Balance of Interests so no one Interest Dominates
- Generate a National Consensus Position



Conformity Assessment Standards

- Standards generation



ISO Standard

- A normative document, developed according to consensus procedures, which has been approved by the ISO membership and P-members of the responsible committee in accordance with Part 1 of the ISO/IEC Directives as a draft International Standard and/or as a final draft International Standard and which has been published by the ISO Central Secretariat

ISO/PAS Publicly available specification

- A normative document representing the consensus within a working group.

ISO/TS Technical specification

- A normative document representing the technical consensus within an ISO committee

ISO/TR Technical report

- An informative document containing information of a different kind from that normally published in a normative document.

International Workshop Agreement (IWA)

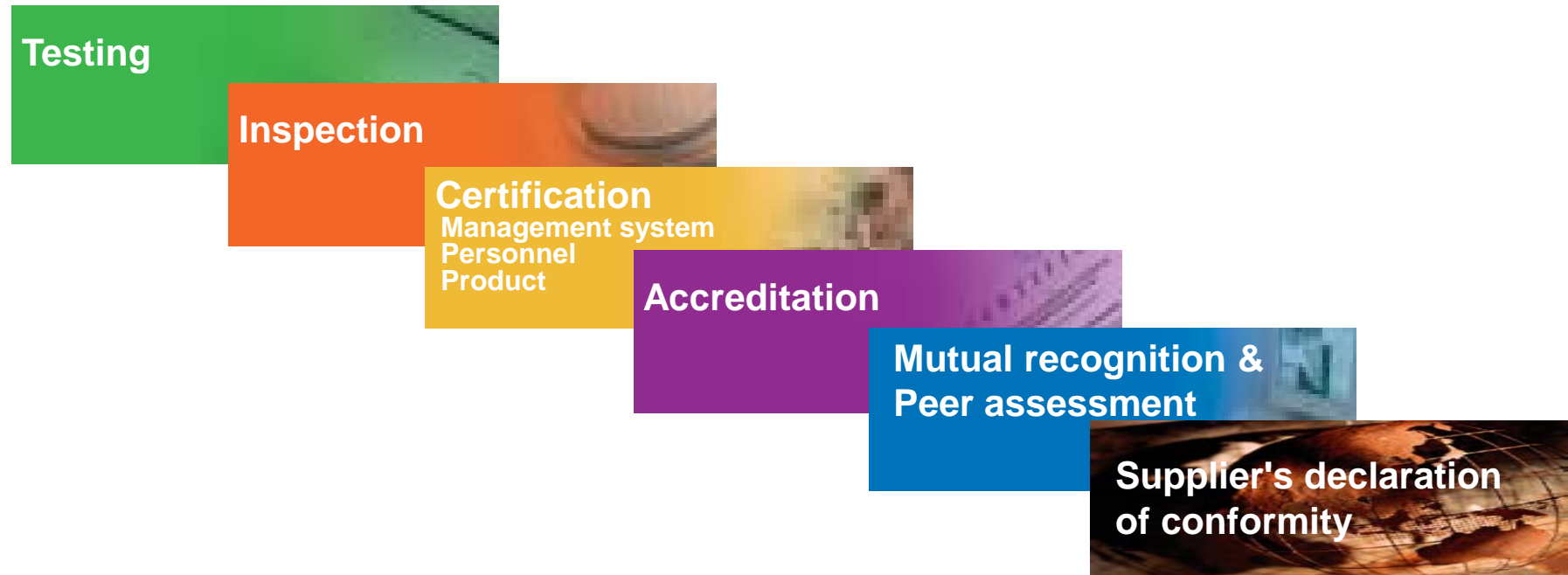
- An IWA is an ISO document produced through workshop meeting(s) and not through the technical committee process.

ISO Guide

- Guides provide guidance to technical committees for the preparation of standards, often on broad fields or topics

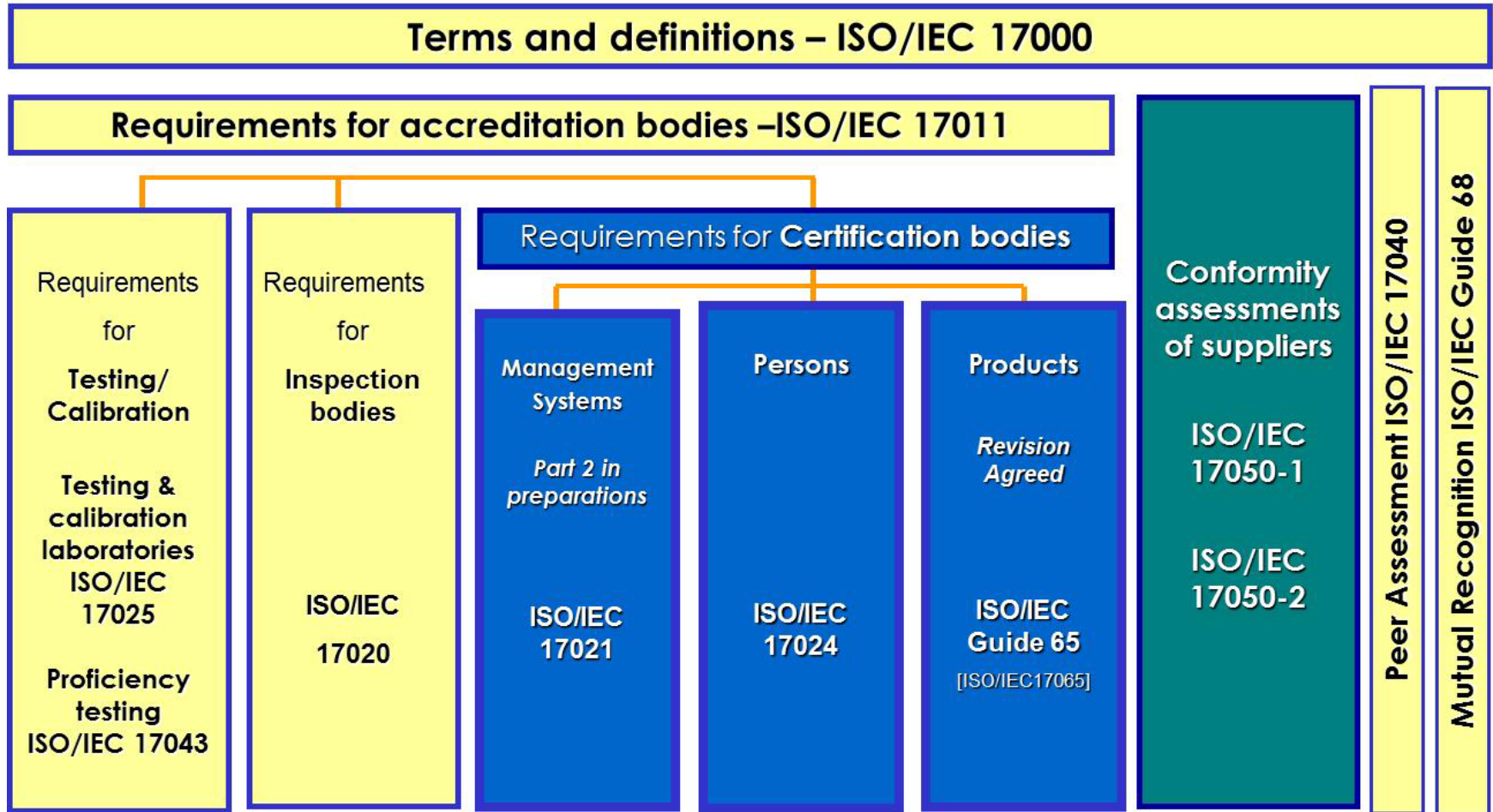
CASCO Toolbox

The ISO/CASCO toolbox provides specific standards and guides on each conformity assessment activity



The decision to use one type of conformity assessment, depends on the customer's requirements, the level of risk associated with the product/service and regulatory requirements

The “CASCO Toolbox” relationships...



CASCO Standards in Progress

- ISO/IEC **17021:2011** (CASCO WG 21), Conformity assessment — Requirements for **3rd party certification auditing of management systems** (**Published 01 February 2011**)
- ISO/IEC **17065** (CASCO WG 29), Conformity assessment — Requirements for certification bodies **certifying products, processes and services** (**DIS – Expected publication 2012**)
- ISO/IEC **17024** (CASCO WG 30), Conformity assessment — General requirements for bodies operating **certification of persons** (**DIS- Expected publication 2012**)
- ISO/IEC **17020** (CASCO WG 31), Conformity assessment — General criteria for the operation of various types of **bodies performing inspection** (**FDIS- Expected publication 2012**)
- ISO/IEC **17067** (CASCO WG 32), Conformity assessment – Fundamentals of **product certification** (Product scheme development) (**WD 2**)
- ISO/IEC TS **17022** (CASCO WG 33), Conformity assessment – Third party management system **audit reports** (**PDTS Expected publication 2012**)

Two CASCO principles

TWO CASCO PRINCIPLES

- The ISO Directives identifies two major principles applied in the development of Conformity Assessment documents:
 - **Principle of neutrality**
 - This policy states that all documents containing requirements for products, processes, services and persons shall be written such that conformity can be assessed by a manufacturer or supplier (1st party), a user or purchaser (2nd party), or an independent body (3rd party).
- **Sector Policy**
- This policy states that ISO/CASCO does not encourage the unnecessary poliferation of sector documents however where there is a geniune need by a sector for such a document CASCO will assist in its development. An example is the Food industry and motor industry.

Topical issues in CASCO

- 1) **Market Suveillance** – Information booklet to be developed on regulatory Good Practice aimed to assist developing economies
- 2) **Interpretation Panel** – Completion of 8 requests for interpretation – process is functioning well
- 3) **CASCO Newsletter** developed and 3rd edition released
- 4) **IAF-ISO Action plan** on monitoring the effectiveness of Accredited Management System Certification – progress is on schedule.
- 5) **Web conferencing** being used relatively extensively for workshops and WG meetings. Facilitates participation from developing economies
- 6) Composition of the **CPC structure** –more efficient
- 7) **Communication** strategy
- 8) **Open day** 5th October

The End at last!

Thank you
and
any questions

- http://www.iso.org/iso/resources/conformity_assessment.htm
 - [ISO video](#)
 - maccurtain@iso.org
 - charlet@iso.org
 - bleeker@iso.org