

Joint Accreditation System of Australia and New Zealand

Quality Manual

Issue No.: 6 Dated: 6 May, 2009



Authority to Issue

A handwritten signature in black ink that reads "James Galloway". The signature is written in a cursive style and is positioned above the printed name.

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Chief Executive Officer
With Authority of the Governing Board

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2. ORGANISATIONAL POLICIES AND OBJECTIVES

The overall policies and objectives are detailed in the agreement between the Governments of Australia and New Zealand that established the Governing Board of the Joint Accreditation System of Australia and New Zealand (JAS-ANZ) (known as the Treaty).

The policies and objectives detailed in the Treaty have been further developed in the JAS-ANZ Statement of Corporate Intent (SCI). The SCI operates as a three-year rolling plan and is the basic control document for the organisation. The SCI also includes the JAS-ANZ intentions and direction toward quality, Mission, Vision, Goals and Values. The SCI is approved by the JAS-ANZ Governing Board.

3. THE ORGANISATION

3.1 Introduction

JAS-ANZ is a not for profit, self funding international organisation established under a Treaty between the Governments of Australia and New Zealand on 30 October 1991. On 28 March 1996 a regulation was made under the Australian *International Organisations (Privileges and Immunities) Act 1963* declaring JAS-ANZ to be an international organisation to which the Act applies. New Regulations reaffirming JAS-ANZ's status were made on 18 June 1998. JAS-ANZ has been accorded similar status in New Zealand under the *Diplomatic Privileges and Immunities Act 1968*.

JAS-ANZ is non-discriminatory, in that it will accept applications from bodies operating anywhere in the world. The JAS-ANZ Governing Board has placed no geographic limitations on the organisation's operations.

JAS-ANZ accreditation [programs/schemes](#) are accessible to all bodies, irrespective of size, location or affiliations, whose operations include activities for which accreditation [programs/schemes](#) are currently available. All accreditation criteria and conditions are [detailed on the JAS-ANZ website. Apart from standards that have to be purchased from the applicants national standards writing body or standard owner, all other accreditation criteria](#) and freely available on request.

There are no restrictions on the size of the available accreditation [programs/schemes](#), that is the number of bodies, which may be accredited under each of the accreditation [programs/schemes](#). Fees are calculated to reflect the costs of operating the joint accreditation system and are published under document and distribution control.

Apart from accreditation, JAS-ANZ provides technical services, including training and consultancy in conformity assessment. JAS-ANZ is very conscious of the possible conflict of interest in providing technical services therefore the following policy applies:

- JAS-ANZ will not provide any conformity assessment services that CABs perform, [irrespective of whether JAS-ANZ accredits or does not accredit the conformity assessment service.](#)
- Technical services are not normally provided to conformity assessment bodies, however if they are, the services shall be restricted to the provision of generic information and advice, which is freely available in the public domain, and
- Technical services provided to other accreditation bodies, established or developing, and developing economies can be unlimited in their application as there is no threat to impartiality. Some typical consultancies provided to date are: reviewing the technical infrastructure of developing countries making recommendations on how the country might establish an infrastructure that satisfies world best practice and assisting other accreditation bodies develop their [accreditation system](#) in preparation for peer evaluation.

JAS-ANZ has entered into contracts/agreements with individuals and bodies and therefore by definition has established related bodies. However, JAS-ANZ will not establish a relationship that threatens JAS-ANZ impartiality. JAS-ANZ has and will continue to establish formal relationships, both at an individual and body level, that enable JAS-ANZ to achieve the objectives outlined in the JAS-ANZ Treaty. JAS-ANZ has identified two broad groups of relationships that need to be managed to ensure that impartiality is not affected as a part of the individual's or body's involvement in the accreditation process or activities undertaken by the individual or body outside of the accreditation process.

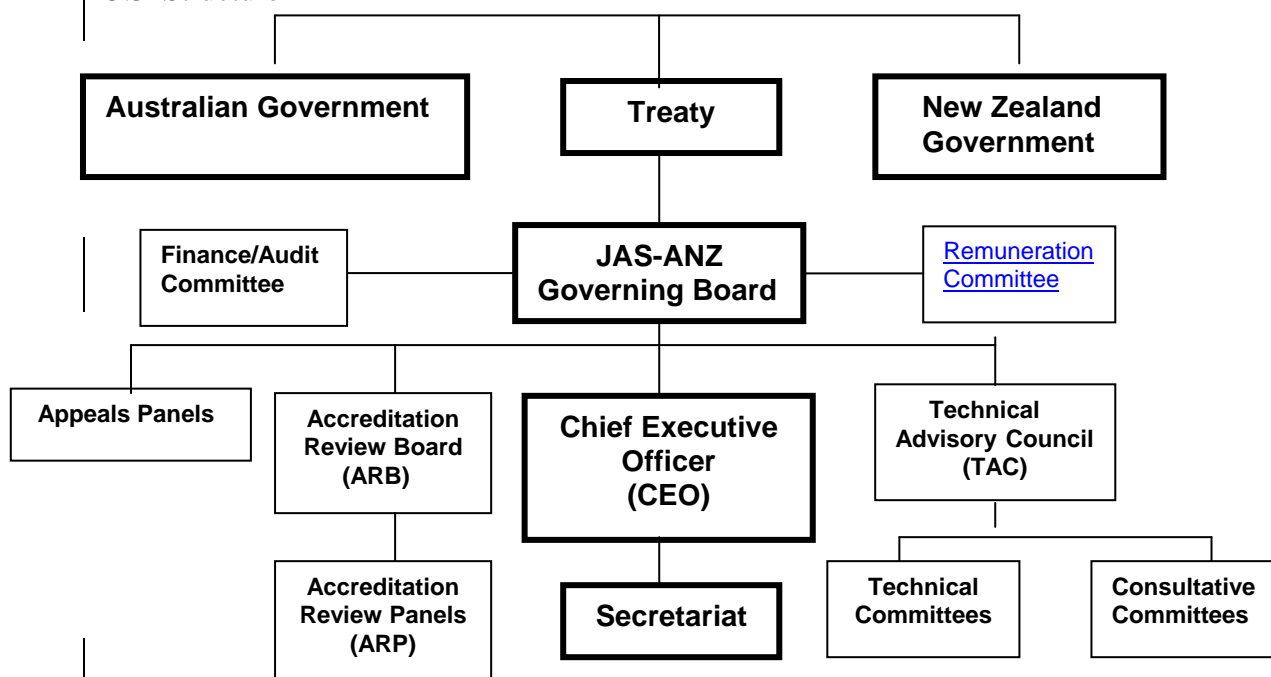
Due to the nature of its operations JAS-ANZ has determined that the greatest threat to impartiality is at the individual level and has established rigorous controls within the service delivery procedures to ensure that impartial accreditation services are provided. JAS-ANZ will not make information on individuals available to the public. However JAS-ANZ has established a register of related bodies, which among other things, will identify the threats the body or its activities pose to impartiality and the actions JAS-ANZ has taken to ensure that the threats are removed or minimised to a level which will ensure impartial accreditation. The register will be made available to the public if requested.

3.2 Treaty Objectives

JAS-ANZ objectives are to:

- strengthen trade;
- be the joint accreditation body for Australia and New Zealand for certification of management systems, products, [personnel and](#) inspection bodies;
- develop mutual recognition in overseas markets for producers, exports and personnel;
- establish strong links with counterpart bodies; and
- establish mutual recognition [arrangements](#) with other accreditation bodies and relevant organisations with national or regional coverage on a bilateral and multilateral [arrangements](#) as appropriate.

3.3 Structure



3.3.1 The Governing Board

The 10 member Governing Board has responsibility for the operation of JAS-ANZ. The members are drawn from government, industry, and business with 6 members from Australian interests, 3 from New Zealand interests and the Chief Executive of JAS-ANZ. The Governing Board does not include members from immediate clients and as a consequence does not in itself satisfy the requirements for strategic impartiality which is provided by the TAC. The Governing Board has been given full authority to conduct its affairs in a commercial manner, with a charter to charge fees for service. The members of the Governing Board are appointed by the responsible Ministers from each Country, and the Chairperson is appointed jointly by both Ministers. A list of Governing Board members is maintained up to date.

The JAS-ANZ Treaty, defines the

- objectives,
- powers,
- structure,
- accountability,
- rules of procedure, and
- fees

The Governing Board has ultimate responsibility for all actions and decisions made by JAS-ANZ. The identified individuals and groups have been delegated day to day responsibility for the following functions:

- performance of assessment and accreditation - CEO;
- formulation of policy matters relating to the operation of JAS-ANZ – TAC & CEO;
- decisions on accreditation - ARB;
- supervision of the implementation of its policies - CEO;
- supervision of the finances of the accreditation body – CEO/Finance/Audit Committee;
- delegation of authority to committees or individuals, as required, to undertake defined activities on its behalf – (3.3.5 refers).
- Contracts/agreements - CEO

The Governing Board shall provide all the necessary information, including the reasons for all significant decisions and actions and the selection of persons responsible for particular activities, in respect of accreditation to the TAC for their information/deliberation.

The **Finance/Audit Committee** – Provides oversight of all financial matters and reports to the Governing Board on the state of the businesses financial position. Provides advice on financial matters and presents the budget to the Governing Board for their consideration.

3.3.2 The Technical Advisory Council

To provide impartiality and independence at the strategic level, the JAS-ANZ Treaty requires the Governing Board to establish a Technical Advisory Council (TAC).

The TAC is appointed by the Governing Board and shall consist of no more than 25 members. Members shall be drawn from all parties significantly concerned in the development of policies and principles regarding the content and functioning of JAS-ANZ, including representatives of conformity assessment bodies subject to accreditation and regulatory agencies, which utilize accredited conformity assessment. The membership and Rules of Procedure shall preclude a single interest from predominating.

The constitution, responsibilities, functions and Rules of Procedure are contained in Operating Procedure 12. Names, qualifications, and experience can be established by reference to the TAC file which is maintained up to date.

3.3.4 Chief Executive

The Chief Executive is a member of the Governing Board and is responsible for managing the technical and business operations of the JAS-ANZ. The Chief Executive is also responsible for liaising with both Governments on relevant issues, and for progressing bilateral and multilateral recognition arrangements with other accreditation bodies, regional and international groups.

3.3.5 Committees

Committees may be created by the Governing Board, TAC or Chief Executive for any topic, such as:

- drafting procedures for approval by the TAC,
- providing specialist advice to the Secretariat and/or the Governing Board,
- reviewing procedures, and
- reviewing accreditation operations.

When committees are formed, membership shall be by invitation and members shall work under the supervision of the initiating group or individual. The committee shall be selected to ensure that members are chosen to provide a balance of interests, where no single interest predominates. The initiating group or individual shall identify the Chairperson.

The Terms of Reference of the committee shall be determined by either the initiating group or individual or the Committee Chairperson and agreed by the committee.

The outcome of committee deliberations shall be by consensus. When a committee has completed its immediate task it shall be adjourned *sine die*.

3.3.6 Assessor and Experts Pool

A pool of assessors and experts have been established by the Secretariat from which accreditation assessment teams are appointed. Experts are added to the pool following a recommendation by the relevant Technical Committee, the TAC, ARB, or other experts or organisations that are involved in the JAS-ANZ processes. The assessors and experts appointed are required to be independent and free of any conflict of interest in performing their function. Each assessor is included in the assessor pool, following evaluation to determine that the individual satisfies the criteria laid down by the Governing Board. When acting as an accreditation assessor or expert, the individual is required to sign a confidentiality statement, and limit any reporting to the Secretariat, to ensure the interests of all parties are preserved.

Names, qualifications, experience can be established by reference to personal files established and maintained up to date.

There are duty statements available for assessors. Functional responsibilities for both assessors and experts are identified in JAS-ANZ Procedures, Operating Procedures, Forms and Checklists, all of which are made available to the individuals as part of document control.

3.3.7 Accreditation Review Board

To ensure impartiality and independence at the decision level, the Governing Board has appointed an Accreditation Review Board (ARB). The ARB has no limit on size and comprises individuals with appropriate technical experience and expertise drawn from a cross section of industries and technologies.

The relevant Technical Committee shall identify prospective ARB membership as part of the Accreditation Criteria development phase (OP 11 refers). Recommendations shall be made to the Governing Board.

There may be a need to supplement the ARB due to resignations, workload etc. Prospective members may be identified by reference to TAC, ARB, industry associations, government, academia, JAS-ANZ Secretariat etc. Members of the TAC, ARB or technical experts with appropriate expertise shall evaluate the nominees competence before a recommendation is made to the Governing Board.

Names, qualifications, experience and terms of reference can be established by reference to personal files established and maintained up to date.

3.3.7.1 Accreditation Review Panel

An Accreditation Review Panel (ARP) is appointed from among the members of the ARB to consider specific recommendations made in relation to granting, maintaining, extending, reducing, suspending and withdrawing accreditation. Members of the ARP shall be independent from the assessment activity. In general an ARP will be made up of a minimum of three members, whose technical expertise will cover the accreditation scope being considered. An ARP will normally be assigned to a CAB for at least one full accreditation cycle, but its membership may be supplemented as the scope of accreditation is extended. *Operating Procedure 1 - Accreditation Review* details the selection of Accreditation Review Panels, and their role and responsibilities in the accreditation system.

3.3.8 Appeals Panel

In the event that a body lodges an appeal against any accreditation-related decision, the Governing Board will establish a panel of three of its members to action the appeal. The establishment and operation of an appeals panel is covered in *JAS-ANZ Procedure 09 - Appeals*.

3.3.9 JAS-ANZ Secretariat structure

The Secretariat, comprise offices located in Canberra (Aust) and Wellington (NZ), is the administrative arm of the Governing Board. The Secretariat currently comprises the positions identified in the organisation chart which is maintained up to date on the JAS-ANZ website.

The Secretariat is divided into four functional groups; Accreditation Services, Technical Services, Business development and Finance/Human Resources. A detailed duty statement is available for each position. Functional responsibilities for both assessors and experts are identified in JAS-ANZ Procedures, Operating Procedures, Forms and Checklists, all of which are made available to the individuals as part of document control.

3.4 Recruitment, Induction and Monitoring of JAS-ANZ personnel

All Secretariat staff are employees of JAS-ANZ.

With the exception of Secretariat staff, all assessors and experts are employed under contract to JAS-ANZ. The contract addresses as a minimum, confidentiality and conflict of interest, and the obligations of each party.

Remuneration of Secretariat and contracted staff is no way linked to the number of, or the speed with which bodies are accredited.

Details regarding the recruitment, induction and monitoring of personnel are documented in *Operating Procedure 05 - Training and Monitoring Performance*, and Form No. 8 is the standard employment contract. A list of contracted personnel is maintained up to date by the Accreditation Services section.

Governing Board, TAC and ARB members are volunteers who serve on a part-time basis and in an honorary capacity. Members are eligible for reimbursement of out of pocket expenses incurred in the performance of their duties under the JAS-ANZ Treaty.

4. THE ACCREDITATION SYSTEM

4.1 Rules of Procedure Governing Accreditation

With the exception of the accreditation of Laboratories, JAS-ANZ does not limit the provision of accreditation services. However JAS-ANZ does reserve the right to reject an application where JAS-ANZ can not provide adequate accreditation oversight or acceptance of the application would pose an unacceptable threat to the reputation of JAS-ANZ and IAF. The Rules of procedure governing accreditation are documented in Procedure 11. The rules identify, among other things, the conditions for granting, maintaining, extending, reducing, suspending, and withdrawing accreditation. The Rules are administered in a non-discriminatory manner and shall not be used in a way to impede or inhibit applicant or accredited bodies.

As a member of the International Accreditation Forum (IAF) Multilateral Recognition Arrangement (MLA), JAS-ANZ abides by the “no more no less” principle and as a consequence employs Accreditation Criteria that are established by the IAF.

Where there are no criteria specified by IAF, JAS-ANZ will develop its own in accordance with Operating Procedure 11, employing a Technical Committee whose membership shall be selected to ensure that members are chosen to provide appropriate competence and a balance of interests, where no single interest predominates to ensure

impartiality. Accreditation Criteria are published as a JAS-ANZ Procedure. A list of the [programs/schemes](#) offered by JAS-ANZ may be found by reference to the Register of Policies and Procedures ([internal only](#)), website or other publicity material.

All documentation associated with accreditation is freely available to applicant and accredited bodies from the JAS-ANZ website (www.jas-anz.com.au) or from the Secretariat. The control of accreditation related documents is in accordance with Operating Procedure 03 – *Creating, Amending and Controlling Documents*.

4.2 Accreditation and Certification Standards

The JAS-ANZ Governing Board will normally only approve an international standard for accreditation and certification purposes. In the absence of an international standard a national standard may be recognised. Industry standards, such as [Global.G.A.P.](#), or regulatory standards may also be recognised, but these will be assessed on a case-by-case basis. Those standards that do not satisfy the above criteria shall be considered in accordance with JAS-ANZ Policy 2/99 – *Recognition by JAS-ANZ of standards as being appropriate for accredited [conformity assessment](#)*.

4.3 Enquiries and Applications

Interested organisations, on application, receive a number of JAS-ANZ documents, which set out the terms, and conditions of accreditation to allow the organisation to make a value judgement as to whether to proceed with an application for accreditation. These documents include:

- the Application Form
- the JAS-ANZ fee schedule
- controlled copies of policies and procedures relevant to the specific accreditation program/[scheme](#) (see *Operating Procedure 09 - Accreditation Administration* for details).

The policies and procedures supplied to the applicant also outline the rights and duties of the applicant in the following areas:

- the use of the accreditation symbol
- appeals and complaints,
- confidentiality,
- the assessment process, and
- the accreditation process.

4.4 Subcontracting

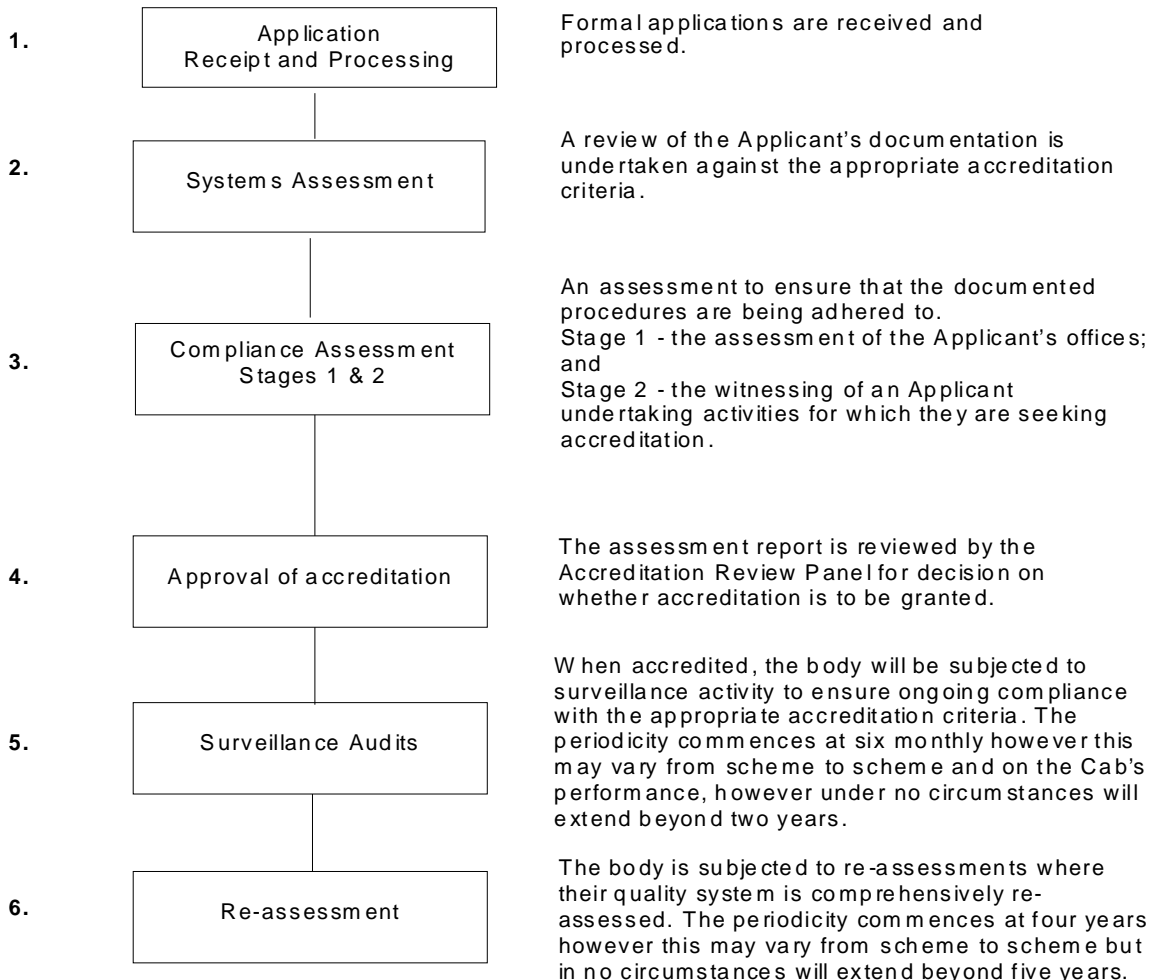
[As a general rule JAS-ANZ does not subcontract accreditation activity. However the IAF and ILAC Cross Frontier Policy promotes subcontracting. Therefore Subcontracting will only be undertaken with an accreditation body that is a signatory](#)

and within the appropriate scope of the IAF or PAC MLA or the APLAC MRA. JAS-ANZ is of the opinion that the IAF MLA and the APLAC MRA is sufficient to facilitate acceptance of other MLA/MRA signatory's reports, however it is understood that not all MLA/MRA signatories take the same stance and as a consequence JAS-ANZ will sign other bilateral or multilateral agreements to facilitate IAF/ILAC Cross Frontier policy. IAF ML1 will be used as the basis of the process to be followed when accepting reports from other accreditation bodies.

JAS-ANZ will seek the permission of the applicant or accredited body before a subcontractor is used by JAS-ANZ.

4.5 An Outline of the accreditation process

The following flow chart outlines the various stages of the basic accreditation process. The process may be amended slightly to accommodate the specific requirements of a particular program/scheme. As a general rule the accreditation process follows ISO/IEC 17011- *General requirements for accreditation bodies accrediting conformity assessment bodies* and ISO 19011 – *Guidelines for auditing quality systems* or equivalents.



A more comprehensive outline of the accreditation process is contained in *Procedure 5*.

4.6 The JAS-ANZ Register

The *JAS-ANZ Register* [is](#) located on the JAS-ANZ website at www.jas-anz.com.au. The Register lists:

- bodies accredited by JAS-ANZ, including Head Office, critical locations, locations and the countries in which CABs can issue JAS-ANZ accredited certificates and scope of accreditation granted;
- bodies certified under their accredited certification [programs/schemes](#); and
- individuals registered under an accredited personnel certification [scheme](#).

5. THE JAS-ANZ QUALITY SYSTEM

5.1 Structure of system and related documentation

The JAS-ANZ Quality System documentation consists of a *Quality Manual*, and a series of Policies, Procedures, Operating Procedures, Advisory Notes, [Accreditation Services](#) Briefing [Notes and the JAS-ANZ Website](#). A full list of these documents can be identified by reference to the appropriate register which is maintained up to date.

Policies: JAS-ANZ Policies are interim documents that convey [changes to accreditation criteria](#). A JAS-ANZ policy may be written to convey information, which will remain extant for a finite period of time; or as a speedy means of overcoming delays associated with the amendment, approval and distribution of JAS-ANZ Procedures. JAS-ANZ Policies either:

- lapse on the date prescribed in the document or are withdrawn when the information is incorporated into a JAS-ANZ Procedure; or
- are re-issued for a further period if necessary.

Procedures: JAS-ANZ Procedures are documents that convey accreditation requirements supplementing international accreditation standards or those JAS-ANZ processes that are required to be publicly available, e.g. complaints.

Operating Procedures. JAS-ANZ Operating Procedures are documents providing work instructions for JAS-ANZ personnel.

Advisory Notes: Advisory Notes are issued on an as required basis to clients, assessors and technical experts employed by JAS-ANZ. The intention of the Advisory Note is to standardise understanding and approach by clients and JAS-ANZ assessment teams. The Advisory Notes are not designed to alter JAS-ANZ Policy or [Accreditation Criteria](#) that is supplied in JAS-ANZ Procedures.

[Accreditation Services](#) Briefing Notes: [Are internal documents that provide information to, where applicable, JAS-ANZ accreditation services staff, assessors and](#)

experts when new [programs/schemes](#) are introduced. The intent of the document is to provide sufficient information, which will enable a smooth implementation of the new [program/scheme](#).

JAS-ANZ Website: Provides an interface with interested parties and JAS-ANZ. The website is a dynamic medium that provides an efficient and effective way of communicating with stakeholders.

Operating Procedure 03 - Creating, Amending and Controlling Documents details JAS-ANZ document control requirements.

5.2 Management of the system

The Quality Manager administers the JAS-ANZ Quality System and consequently is responsible to the Chief Executive for all quality matters. Other Secretariat staff have specific roles and responsibilities within the quality system, and these are documented in JAS-ANZ Operating Procedures and position duty statements.

The JAS-ANZ quality system is subject to a comprehensive internal audit and review process as documented in *Operating Procedure 07 - Internal Audit* and *Operating Procedure 08 - Management Review*.

5.3 Appeals and Complaints

The manner in which JAS-ANZ addresses appeals and complaints is documented in JAS-ANZ Procedures. *Procedure 12 - Complaints* documents the procedures for organizations to lodge complaints about JAS-ANZ, accredited bodies, certified bodies or certified individuals. *Procedure 9 - Appeals* documents the process by which appeals may be lodged and judgement passed.

5.4 Corrective and Preventative Action

The procedure for process for implementing corrective and preventative action can be found in *Operating Procedure 06 – Corrective and Preventative Action*.

Aspects requiring corrective and preventative action are categorized into Nonconformities and Opportunities For Improvement (OFIs) and are actioned with the use of NCR and OFI logs. The Management Review team monitors all aspects of continuous improvement including corrective and preventative action.