



KENYA ACCREDITATION SERVICE

Document Title: **COLLECTION OF DATA TO PROVIDE INDICATORS OF THE PERFORMANCE OF MANAGEMENT CERTIFICATION BODIES**

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KENAS-POL-004	01	30/11/2016	30/12/2016	POL	1 of 6

Approval and Authorisation

Completion of the following signature blocks signifies the review and approval of this Document.

Name	Job Title / Role	Signature	Date
Authored by	ASSISTANT DIRECTOR CERTIFICATION	<i>Approved</i>	30/11/2016
Checked by	DEPUTY DIRECTOR TECHNICAL SERVICES	<i>Approved</i>	30/11/2016
Approved by	CHIEF EXECUTIVE OFFICER	<i>Approved</i>	30/11/2016

Periodic Review Approval and Authorisation

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1 OVERVIEW CONTENT

1.1 Process Overview

This policy identifies the “indicators” which KENAS shall require accredited Management System Certification Bodies to report on a periodic basis for the consistent application of ISO/IEC 17011.

1.2 Purpose

This Policy on the collection of data to provide indicators of a the performance of Management System Certification Body that is aimed at providing input to KENAS for managing the corresponding surveillance activities as provided for in ISO/IEC 17011, clause 7.11.2, which requires Accreditation Bodies to:

“establish procedures and plans for carrying out periodic surveillance on-site assessments, other surveillance activities and reassessments at sufficiently close intervals to monitor the continued fulfilment by the accredited CAB of the requirements for accreditation”

This policy specifies a set of indicators that shall be collected and reviewed annually by KENAS to supplement onsite assessments.

1.3 Scope

The indicators collected by the certification bodies must be provided on or before 15th January of every year.

1.4 Role(s) and Responsibility

Role	Responsibility
Assistant Director’s	To collect and collate the data provided by the CBs



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Role	Responsibility
Deputy Director Technical services	Implementation of this Policy
Chief Executive Officer	Approval of this Policy
Accredited CBs	Conformance to the policy by providing the required information in a timely manner

2 DEFINITIONS/ABBREVIATIONS

The table below defines new or changed terms that are included in or associated with this process.

Term	Definition
Indicator	A trend or a fact that indicates the state or level of certification activities.

3 PROCESS INSTRUCTIONS

3. INDICATORS TO BE COLLECTED AND REVIEWED

CBs shall compile the following indicators and provide to KENAS on an annual basis on or before January 15th of every year for the standards under accreditation.

KENAS on the other hand shall obtain the collected information on each accredited standard inform on its surveillance activities and also to forward the same to IAF on or before 31st January of each year.

3.1 Number of accredited certificates valid at the end of December

Note: Analysis of this data indicates change in number of certificates in a given time period.

Based on the data provided, KENAS would be able to gain a fair understanding of any significant change (s) in the Certification Body's operations.



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3.1.1 Requirements for reporting valid certificates

The number of valid certificates should be reported according to the following rules:

- If a client holds a valid certificate which covers one site, this has to be counted as one certificate (single-site certificate).
- If a client holds one certificate, which covers more than one site, it is still counted as one certificate as only one certificate was issued (multiple-site certificate). If, however, the multiple sites are certified individually, then each granted certificate has to be counted (as for single-site certificates).
- Whether a client holds several single-site certificates (with each site holding its own individual certificate) or a single multiple-site certificates (with one valid certificate covering a number of sites), Certification Bodies shall report the total number of certificates.
- If a client is certified to more than one management system, and a Certification Body has issued only one certificate to cover both scopes, this should be counted with as many certificates as management systems are covered by the certification, i.e. one certificate per management systems standard.

Note: A valid certificate refers to a certification that is currently under the validity of a certification contract, either with an active or suspended status. Withdrawn certificates, as well as applications, are not to be counted for this purpose

3.2 Number of auditors

Note: This information, together with information in 3.1, would give an indication of resources the Certification Body has in managing its certification programs. It is to be collected at the same time as the information in 3.1 and include all auditors as defined by ISO/IEC 17021.



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3.3 Number of transfers accepted

Note: This data refers to the number of transfers (as defined in IAF MD2) accepted by the Certification Body since the preceding reporting period. While transfers could be for many reasons, any sudden increase in the number of transfers could provide KENAS with input for further review during onsite assessment

3.4 Number of overdue audits

Note: This information would provide KENAS with input on how well a Certification Body is managing its audit program. Overdue audits would be those that were not carried out in the time period as stated in the Certification Body's procedures. The number reported should range until the preceding reporting period.

3.5 Number of auditor-days delivered

Note: Auditor-days is to be understood as stated in IAF MD5. This information would provide KENAS with an indication of resources used by the Certification Body and should be compared with the other indicators. The number reported should range until the preceding reporting period.

The above information shall be provided in the below format

Number of accredited certificates valid at the end of December	No. of Auditors	No. of transfers accepted	No. of overdue audits	No. of Auditor-days delivered

N/B The CB can provide explanatory notes on the entries



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4 REFERENCE AND RELATED DOCUMENTS

Ref	Document Identifier	Document Title
1.	IAF MD 5:2014	QMS EMS Audit Duration
2.	IAF MD 2:2007	Transfer of Accredited Certification of Management Systems.
3.	ISO/IEC 17011	General requirements for accreditation bodies accrediting conformity assessment bodies
4.	ISO/IEC 17021	Requirements for bodies providing audit and certification of management systems
5.	IAD MD 15:2015	IAF mandatory document for the collection of data to provide indicators of management system certification bodies' performance

5 TRAINING

Staff performing one or more of the roles specified in this procedure shall be taken through training to ensure that they demonstrate the capabilities required to successfully perform the activities described. A period not more than one month shall be allocated between the issue date and effective date to facilitate such training.

6 REVISION HISTORY

Date	Ver	Revised By	Reason For Revision
30/11/2016	01	ADC	Initial