



Heads Up

Issue: 265

Date: 2013/06/26

To: ANAB-Accredited and Applicant CBs and Accreditation Assessors

From: Lori Gillespie, Director of Accreditation

Re: IAF Mandatory Document 5, Duration of QMS and EMS Audits

IAF MD 5 was revised and published 04 March 2013 for immediate application. ANAB recognizes CBs need time to modify documented systems and effectively implement revisions internally and with clients because contracts may need to be revised, etc. ANAB expects most CBs are already conforming, and ANAB will verify conformance during assessments scheduled after 01 August 2013. If ANAB is unable to verify conformance and/or effective implementation of IAF MD 5 after 01 August 2013, ANAB will issue NCRs accordingly.

The most significant change relates to the allowable reduction of audit duration. MD 5 makes it clear that the reduction **shall not** exceed 30% of the time established from the tables (section 3.9). Previously MD 5 said it would be **unlikely** that the reduction would exceed 30%.

The IAF position on how to assess the 30% reduction and onsite time versus offsite time has changed:

IAF has confirmed that section 3.9 of MD 5 allows for a maximum 30% justified reduction in total audit time outlined in the tables. Therefore, ANAB will consider any reductions greater than 30% nonconforming.

IAF has also confirmed that after the total audit time is calculated, including up to a 30% justified reduction (if applicable), per sections 2.1 and 4.1 of MD 5, the CB can allocate up to 20% of the total time to offsite time for offsite activities (planning, document review, interaction with client personnel, report writing). Allocating some of the total time from onsite to offsite is not an additional reduction in time; it is an allocation of time calculated from the tables.

The audit time determination process is to first determine the time from the tables and then apply any appropriate addition or reduction, (keeping in mind that reductions shall not exceed 30%). Next, determine how much of the calculated time can be allocated for activity to be conducted offsite (which shall not exceed 20%). Then the CB needs to make sure the customer quote is accurate and includes the total time, whether onsite or offsite, and finally the CB will need evidence to demonstrate activities planned to be completed offsite were actually completed offsite and not onsite.

It is expected that the CB's records (e.g. quotes, plans, reports, invoices) will demonstrate the total days as required from the table, including justified adjustments, including the required time allocated offsite. Although CB charges/invoices are not a normal assessment trail for ANAB if the CB's audit calculation process comes into question, ANAB may ask to review them to confirm the CB conforms to MD 5 and the audit day calculation process is effective.

If the CB needs more than the 20% maximum to complete offsite activities (e.g., report writing), the CB cannot justify reallocating more than 20% onsite time to offsite time. Any more offsite time needed must be in addition to the time calculated in section 3 of MD 5.

For example, for ISO 9001, the company has 100 employees, 7 days per Table QMS 1.

- Documented justification to take a maximum 30% reduction: $7 \times 70\% = 4.9$ days total time
- If allocating 20% of the total time to offsite to plan the audit, write the report, etc., offsite: $4.9 \times 80\% = 3.9$ days onsite, and $4.9 - 3.9 = 1$ day offsite

- CB will quote (and bill) a total of 5 days: 4 days onsite (rounding up 3.9 days) and 1 day offsite.
- CB will conduct 4 days onsite and 1 day offsite for report writing, etc. The CB will not take onsite time to complete activities planned for offsite.

For ISO 14001, after the total time is determined based on Table EMS 1, the same process outlined above would apply.