Assurance Code v2 Public System Report Outline

Version 1, May 2018

Introduction to Public System Reports

ISEAL members produce and annually update a Public System Report for each of the ISEAL Codes. The main goal of the Public System Reports is to provide a simplified overview of a scheme’s operating systems to support Code evaluation processes. These systems represent the standard-setting, assurance, and monitoring & evaluation functions. Standards systems have flexibility regarding how information is presented and how much information they include in the report. It is important that the narrative report be written in clear, easily accessible language with a maximum length of 4 pages. While the narrative should be able to stand alone, it may be complemented by web links to additional information or include appendices that provide more technical detail.

Assurance Public System Report Content

For the Assurance Code v2, standards systems should prepare a narrative report that describes the various aspects of the assurance process. The narrative report will include many of the requirements of clause 6.3 of the Assurance Code, helping standards systems to fulfil that compliance requirement.

1. Assurance System Structure

- **Description of the assurance model** and its rationale. This shall cover the assurance structure, scope, activities (including types of assessment), risks inherent in the sector, and types of claims being made.

- **Overall structure** of the assurance programme, including the chain of authority and decision-making. This could be provided using a visual relationship diagram of primary assurance system entities or actors - at a minimum the scheme owner, assurance provider(s), and oversight body(ies).

- Description of the **mechanisms to drive learning and improvement** in the assurance system. This shall cover a description of the following elements and how they are connected to improve assurance: information management system, the risk management plan, management reviews, and improvement feedback loop

- **List of standards** that are assessed through the assurance system, and, for each standard, whether certifier compliance with ISO 17065 or ISO 17021 is required

- Link to list of **assurance providers** (e.g. certification or verification bodies) that are approved to work in the assurance system

- How and when **stakeholders** engage in the assurance process, including a description of the complaints process and how its information is used to improve assurance
2. Personnel Competence

- How auditors are qualified and what training or experience they are required to have
- Auditor competence and evaluation: How training is managed at different levels (eg. auditors of clients and auditors of assurance providers), and how performance levels are monitored over time
- Additional ways in which auditor competence is ensured and strengthened

3. Assessment

- Description of assessment process, including:
  - types of audits (on-site, desk audits, etc.) and independence level or combination (1st, 2nd, 3rd party)
  - frequency and intensity of audits including how risk is integrated if relevant
  - structure of audit teams (if audit team is used) and how the independence of technical experts is assured
- Remediation and sanctions for different gradations of non-conformity
- Decision-making mechanism and how levels of non-conformity are determined
- Where applicable, overview of group certification model and how systemic problems with group internal management systems are monitored

4. Oversight

- General description of the oversight model, including: how it is appropriate to the scheme and its operations, and information about frequency and intensity of oversight
- Link to the list of accreditation or oversight bodies operating in the standards system
- Whether proxy accreditation is used, and the additional measures taken to assess its rigor and consistency

5. On-going Scrutiny

- Description of market surveillance (and who is responsible) and repercussions of fraud

6. Value and accessibility

- A description of how accessibility and value is provided to clients (eg. information on eligibility requirements, performance insights to clients, range of publicly available information, stakeholder input)