ACCREDITATION CRITERIA FOR
MANAGEMENT SYSTEM CERTIFICATION BODIES

AC477

February 2015
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PREFACE

The attached accreditation criteria has been issued to provide all interested parties with guidelines on implementing performance features of the applicable standards referenced herein. The criteria was developed and adopted following public hearings conducted by the International Accreditation Service, Inc. (IAS), Accreditation Committee and is effective on the date shown above. All accreditations issued or reissued on or after the effective date must comply with this criteria. If the criteria is an updated version from a previous edition, solid vertical lines (|) in the outer margin within the criteria indicate a technical change or addition from the previous edition. Deletion indicators (→) are provided in the outer margins where a paragraph or item has been deleted if the deletion resulted from a technical change. This criteria may be further revised as the need dictates.

IAS may consider alternate criteria provided the proponent submits substantiating data demonstrating that the alternate criteria are at least equivalent to the attached criteria and otherwise meet applicable accreditation requirements.

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1.0 INTRODUCTION

1.1 Scope: This criteria sets forth the requirements for obtaining and maintaining International Accreditation Service, Inc. (IAS), Management System (MS) Certification Body (CB) accreditation and for the qualifying data that must be submitted relating to the scope of accreditation for which certification activity is sought. CB(s) seeking accreditation for MS certification shall comply with the requirements specified in ISO/IEC 17021:2011, Conformity assessment – Requirements for bodies providing audit and certification of management systems; and supplemented by this IAS Accreditation Criteria, IAS Rules of Procedure for Management System Certification Bodies, and International Accreditation Forum (IAF) mandatory documents on application of ISO/IEC 17021.

1.2 References and Normative Documents: Publications listed below refer to current editions (unless otherwise stated), current editions of related codes published by the International Code Council or codes duly adopted by the relevant jurisdiction.

1.2.1 ISO/IEC 17011, Conformity assessment – General requirements for accreditation bodies accrediting conformity assessment bodies.

1.2.2 ISO/IEC 17021, Conformity assessment – Requirements for bodies providing audit and certification of management systems.

1.2.3 ISO/IEC TS 17021-2, Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 2: Competence requirements for auditing and certification of environmental management systems.

1.2.4 ISO/IEC TS 17021-3, Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 3: Competence requirements for auditing and certification of quality management systems.

1.2.5 IAS Rules of Procedure for Management System Certification Body Accreditation.

1.2.6 ISO/IEC 17000, Conformity assessment – Vocabulary and general principles.

1.2.7 ISO 19011, Guidelines for auditing management systems.

1.2.8 ISO/TS 22003, Food safety management systems – Requirements for bodies providing audit and certification of food safety management systems.

1.2.9 ISO/IEC 27006, Information technology – Security techniques – Requirements for bodies providing audit and certification of information security management systems.

1.2.10 ISO 9001 Quality management systems – Requirements (QMS).

1.2.11 ISO 14001 Environmental management systems – Requirements with guidance for use (EMS).

1.2.12 ISO 22000 Food safety management systems – Requirements for any organization in the food chain (FSMS).


1.2.14 OHSAS 18001 Occupational health and safety management systems. Requirements (OH&S).

1.2.15 ISO 13485, Medical devices – Quality management systems – Requirements for regulatory purposes.

1.2.16 ISO 50001, Energy management systems – Requirements with guidance for use.

1.2.17 ISO 14065, Greenhouse gases – Requirements for greenhouse gas validation and verification bodies for use in accreditation or other forms of recognition.

1.2.18 International Accreditation Forum (IAF) ID 1, Informative Document for QMS and EMS Scopes of Accreditation.

1.2.19 International Accreditation Forum (IAF) MD 1, Certification of Multiple Sites Based on Sampling.

1.2.20 International Accreditation Forum (IAF) MD 2, Transfer of Accredited Certification of Management Systems.

1.2.21 International Accreditation Forum (IAF) MD 3, Advanced Surveillance and Recertification Procedures (ASRP).

1.2.22 International Accreditation Forum (IAF) MD 4, Use of Computer Assisted Auditing Techniques (“CAAT”) for Accredited Certification of Management Systems.

1.2.23 International Accreditation Forum (IAF) MD 5, Duration of QMS and EMS Audits.


1.2.26 International Accreditation Forum (IAF) MD 12, Assessment of Certification Activities for Cross-Frontier Accreditation.

2.0 DEFINITIONS

Definitions related to conformity assessment are from ISO/IEC 17000 and ISO/IEC 17011.

2.1 Accreditation: Third-party attestation related to a conformity assessment body conveying formal demonstration of its competence to carry out specific conformity assessment tasks.

2.2 Attestation: Issue of a statement based on a decision following review that fulfillment of specified requirements has been demonstrated.
2.3 **Certification**: Third-party attestation related to products, processes, systems or persons.

**Note 1**: Certification of a management system is sometimes called registration.

**Note 2**: Certification is applicable to all objects of conformity assessment, except for conformity assessment bodies themselves, to which accreditation is applicable.

2.4 **Conformity Assessment Body (CAB, Certification Body, CB)**: Body that performs conformity assessment services and that can be the object of accreditation.

3.0 **ELIGIBILITY**

3.1 All applicants must have operated, provided certification services and completed a minimum of one initial certification audit per discipline, including completion of the decision-making process and issuance of certification. Alternatively, applicants who have received applications from clients seeking certification and are preparing to conduct audits of these applicant organization(s) may also be eligible for accreditation.

3.2 Provide at least one internal audit against the operating discipline(s) and record of the minutes of the meeting of the Impartiality Committee as required by ISO/IEC 17021.

3.3 IAS MS CB accreditation services are available to third-party certification body organizations that meet the requirements of ISO/IEC 17021 and who operate in the following disciplines:

3.3.1 ISO 9001 Quality management systems – Requirements (QMS).

3.3.2 ISO 14001 Environmental management systems – Requirements with guidance for use (EMS).

3.3.3 ISO 22000 Food safety management systems – Requirements for any organization in the food chain (FSMS).


3.3.5 OHSAS 18001 Occupational health and safety management systems. Requirements (OH&S).

3.3.6 ISO 13485, Medical devices – Quality management systems – Requirements for regulatory purposes.

3.3.7 ISO 50001, Energy management systems – Requirements with guidance for use.

3.3.8 ISO 14065, Greenhouse gases – Requirements for greenhouse gas validation and verification bodies for use in accreditation or other forms of recognition.

Additional or equivalent MS can be considered per CB’s request. Each discipline will carry a range of sectors for which accreditation can be sought.

3.4 In addition to the requirements given in ISO/IEC 17021, MS CB must also demonstrate compliance with the following applicable criteria available in the Appendices:

3.4.1 **Appendix 1**: IAS requirements for ISO 9001 Certification Bodies operating Quality Management System certification.

3.4.2 **Appendix 2**: IAS requirements for ISO 14001 Certification Bodies operating Environmental Management System certification.

3.4.3 **Appendix 3**: IAS requirements for ISO 22000 Certification Bodies operating Food Safety Management System certification.

3.4.4 **Appendix 4**: IAS requirements for ISO/IEC 27001 Certification Bodies operating Information Security Management System certification.

3.4.5 **Appendix 5**: IAS requirements for OHSAS 18001 Certification Bodies operating Occupational Health and Safety certification.

3.4.6 **Appendix 6**: IAS requirements for ISO 13485 Certification bodies operating Medical Devices – Quality Management Systems certification.

3.4.7 **Appendix 7**: IAS requirements for ISO 50001 Certification Bodies operating Energy Management System certification.

3.4.8 **Appendix 8**: IAS requirements for ISO 14065 Certification Bodies operating Greenhouse Gases Management System certification.

4.0 **SUPPLEMENTAL REQUIREMENTS**

4.1 The CB seeking accreditation must submit data showing compliance with ISO/IEC Standard 17021, *Conformity Assessment – Requirements for bodies providing audit and certification of management systems*.

4.2 This criteria is used for the accreditation of certification bodies which seek to be recognized as being competent to certify an organization’s MS for specific disciplines in the respective sectors. The certification body is required to define the scope it undertakes, identify the technical qualifications of its auditors for that particular discipline/sector and to select a suitably qualified CB audit team to conduct the certification audits.

4.3 The CB must have requirements for determining continued compliance of the organizations it certifies. This shall include an on-site audit of the organizations that it certifies in accordance with the CB assessment procedure and ISO/IEC 17021.

4.4 Participation by CB audit personnel in a “personnel certification scheme,” accredited to ISO/IEC 17024 by an accreditation body recognized by IAF is acceptable, however the CB must establish its own criteria for determining competence of audit personnel through evaluation of those areas not covered by the scope of a personnel certification scheme.

4.5 IAS shall verify that the CB is able to identify any impact on the overall or specific sectorial competence of the CB when an employee/auditor of the CB has left the organization. Under such circumstances, the IAS assessment team shall seek evidence that the CB has identified the impact on its overall competence and the effect on existing certifications.
5.0 PREPARATION FOR ASSESSMENT

5.1 An assessment agenda will be planned to encompass three assessment activities: (1) Assessment of the documentation of the CB; (2) Assessment of the CB’s main office including branch offices and where required, subcontractors; and (3) Witnessing of field audits conducted by the CB at the CB’s client’s premises.

5.2 For witnessing of field audits, the number of witness assessments required depends on the extent of the scope of accreditation sought. Where requested technical sectors overlap, these will be grouped before witness durations are taken into account. The witness assessment duration will be determined by IAS.

6.0 ASSESSMENT

6.1 At all times during the assessment process, i.e., during the assessment or upon request, the applicant or accredited CB shall provide IAS with unrestricted access to documents pertaining to its certification process, in particular, records of complaints, appeals, disputes and any related corrective actions undertaken.

6.2 A preliminary visit is optional and must be requested by the applicant CB. A preliminary visit is for the purpose to better understand the accreditation process and to clarify expectations of IAS and the requirements of the criteria documents. A preliminary assessment report will be provided, however this shall not reduce the number of assessment days or assessors required for the initial assessment. Applicants and accredited CBs shall be subject to an IAS review during the ‘Stage 1’ and ‘Stage 2’ audits. This two stage assessment as specified in ISO/IEC 17021 shall be used to determine compliance of the CB with the standard and related IAS criteria for the scope of certification for which accreditation is sought.

6.3 Where required and when appropriate conditions prevail (e.g., scope expansions, relocation of premises, follow-up assessments, etc.), IAS may consider a combination of desk assessments and/or on-site witness visits. IAS’ decision to grant a desk assessment is final when this option is requested by the MSCB. Desk assessments are not intended to replace the need for periodic on-site surveillance and reassessments of an accredited organization.

6.4 After the initial year of accreditation, the MS CB is subject to an on-site surveillance visit. The surveillance visit shall be completed approximately 12 months from the date of the initial granting of accreditation. As determined by IAS a witness assessment of the CB’s certified client(s) shall also be completed during the surveillance assessment by IAS.

6.5 IAS will conduct a full reassessment of the CB at a minimum of once every two years commencing from the date of the surveillance assessment. Reassessment entails a full verification of the CB’s scope of accreditation for continued compliance with IAS accreditation requirements. This will include both a Stage 1 on-site office assessment and a Stage 2 assessment at the site of the CB’s client.

6.6 For assessment of premises where one or more key activities are conducted by the applicant or accredited CB, this is undertaken in accordance with IAS Policy on Duration for Quality Management Systems Audits in Conjunction with International Accreditation Forum MD 5:2013, available on the IAS website. The policy provides guidance for determining the amount of time and the sampling methodology required for the assessment of MCB premises for the various disciplines and scopes where accreditation is sought or is being maintained. For surveillance assessment and reassessment where the CB works from various premises, IAS requires all premises where one or more key activities are performed to be assessed within the two-year reassessment cycle. At surveillance assessments, premises with key activities not visited during the initial assessment will require review based on client files or, where appropriate, by an on-site assessment.

7.0 WITNESSING CERTIFICATION ACTIVITIES

IAS will periodically witness audits at a CB’s client’s site. Guidance for the duration of all QMS audits will be in accordance with IAF MD5, Duration of QMS and EMS Audits.

7.1 For initial accreditation, one activity in each major or similar sectors of the certification disciplines shall be witnessed prior to the granting of accreditation.

7.2 Reassessment visits shall be the same as shown in Section 7.1.

7.3 For surveillance purposes, a sampling of activities in each major certification discipline shall be reviewed.

7.4 The selection of locations and auditors for a witness activity shall be agreed upon by IAS in consultation with the CB. The geographic distribution, location, and scope of accreditation of the CB shall be taken into consideration.

7.5 For witness audit plans which are part of initial/surveillance /reassessment visits, refer to IAS Policy on Scoping for Management System Certification Body Accreditation.

7.6 IAS may assess certified MS of CB’s clients without any or with limited time notice to the CB. Therefore, the CB must include in its contractual agreements with its clients, their responsibility to accept and facilitate IAS assessments of their MS. Failure to accept and/or facilitate such assessments may result in suspension or withdrawal of CB’s accreditation.

8.0 CLASSIFICATION OF SCOPES OF ACCREDITATION

To provide general guidance in the classification of scopes of accreditation of CB for all disciplines, the following IAS requirements have been developed:

8.1 For QMS, IAS adopts the 39 scope sectors recognized by International Accreditation Forum (IAF) and utilizes the current edition of IAF-ID 1 document on scopes for QMS/EMS certification systems, available on the IAF website, www.iaf.nu.

Note: Scope sectors are based on NACE, Revision 2 (Statistical classification of economic activities in European Community published by the Commission of European Communities in Journal L 393/1, 30.12.2006). For more details on NACE, refer to IAS Policy on Scoping for Management System Certification Body Accreditation.

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8.2 EMS scopes have the same requirements as in Section 8.1, QMS.

8.3 For FSMS, the list of food chain sectors for which accreditation can be sought is listed in the latest ISO/TS 22003.

8.4 For ISMS, the list of ISMS sectors for which accreditation can be sought is listed in the latest ISO/IEC 27006.

9.0 SCOPE EXPANSIONS FOR ALL DISCIPLINES

An IAS-accredited certification body may request expansion of their scope of accreditation at any time during the effective term of accreditation by submitting a written request identifying the discipline and sector(s) to be added.

The length of time to process a request for expansion of the scope is dependent on submittal of the information requested below, and the scheduling of on-site and witness assessments when deemed necessary to determine competence. All expenses and costs related to scope expansions are the responsibility of the certification body as per the IAS fee schedule for management system certification.

Publications listed below refer to current editions (unless otherwise stated), current editions of related codes published by the International Code Council or codes duly adopted by the relevant jurisdiction.

APPENDIX 1
IAS requirements for ISO 9001 Certification Bodies operating Quality Management System certification.

IAS adopts the 39 scope sectors recognized by the International Accreditation Forum (IAF) and utilizes the current edition of IAF-ID 1 document on scopes for QMS certification systems.

APPENDIX 2
IAS requirements for ISO 14001 Certification Bodies operating Environmental Management System certification.

IAS adopts the 39 scope sectors recognized by the International Accreditation Forum (IAF) and utilizes the current edition of IAF-ID 1 document on scopes for EMS certification systems.

APPENDIX 3
IAS requirements for ISO 22000 Certification Bodies operating Food Safety Management System certification.

A3.1 Scope

In addition, for food safety management systems, this appendix supplements the IAS Rules of Procedure for Management System Certification Body Accreditation.

A3.2 Additional Reference Documents

A3.2.1 ISO/TS 22003, Food Safety Management Systems – Requirements for bodies providing audit and certification of food safety management systems.

A3.2.2 ISO 22000, Food safety management systems - Requirements for any organization in the food chain.

A3.3 Additional Definitions

A3.3.1 Food Safety Management Systems (FSMS): A set of interrelated or interacting elements to establish policy and objectives and to achieve those objectives, used to direct and control an organization with regard to food safety.

A3.3.2 Hazard Analysis and Critical Control Point (HAACP): System which identifies, evaluates and controls hazards which are significant for food safety.

A3.4 Eligibility

Food Safety Management System accreditation services are available to third-party CBs who have ISO/IEC 17065 and/or ISO/IEC 17021 accreditation.

A3.5 Supplemental Requirements

ISO/IEC 17021 and ISO/TS 22003 clearly describe how accredited and applicant CBs need to implement a certification audit of a management system of their clients through the process of Stage 1 and Stage 2 audits. The surveillance frequency is also defined in the above-mentioned standards.

To confirm the complete evaluation of a service or product, ISO 22000 FSMS certified clients may use the services of:

- Inspection agencies who are accredited to ISO/IEC 17020, Conformity assessment – Requirements for the operation of various types of bodies performing inspection, by IAS or by another signatory to the International Laboratory Accreditation Cooperation (ILAC) Mutual Recognition Arrangement (MRA).

- Product certification agencies who are accredited to ISO/IEC 17065, Conformity assessment – Requirements for bodies certifying products, processes and services; by IAS or by another signatory to the International Accreditation Forum Multilateral Arrangement (IAF MLA).

- Personnel certification agencies that are accredited to ISO/IEC 17024, Conformity assessment – General requirements for bodies operating certification of persons.

- Testing and calibration laboratories who are accredited to ISO/IEC 17025, General requirements for the competence of testing and calibration laboratories, by IAS or by another signatory to the International Laboratory Accreditation Cooperation (ILAC) Mutual Recognition Arrangement (MRA).

A3.6 Classification of Food Chain Sectors

The Scope of Accreditation for FSMS is provided in accordance with ISO/TS 22003 standard requirements.
APPENDIX 4

A4.1 Scope
In addition, for ISMS certification body accreditation this appendix supplements the IAS Rules of Procedure for Management System Certification Body Accreditation.

A4.2 Additional Requirements
• Procedures shall be available for qualification and monitoring of CB’s auditors and experts based on ISO 19011 and the specific requirements given in ISO/IEC 27001 and ISO/IEC 27006;
• Consideration shall be given to Annex C of ISO/IEC 27006 on the audit man days required for verifying compliance to the ISO/IEC 27001 standard in designing information systems.

A4.3 Eligibility
ISMS accreditation services are available to any third-party CB complying with the above requirements. Accreditation signifies that the certification body is competent to offer ISMS certification as per ISO/IEC 27001. The competence of the CB shall be established by assessing compliance to relevant provisions of ISO/IEC 27006.

A4.4 Classification of ISMS Sectors: Scope Classification
The Scope of Accreditation for ISMS is provided in accordance with ISO/IEC 27006 standard requirements.

APPENDIX 5
IAS requirements for OHSAS 18001 Certification Bodies operating Occupational Health and Safety Management Systems (OHSMS) certification.

A5.1 Additional Requirements
Accreditation by IAS signifies that certification bodies have competencies to offer OHSMS certification within the granted IAS scope of accreditation by:
• Keeping abreast of the technological and legal developments relevant to the OHSMS certification sought by their clients;
• Having technical expertise of auditors providing an appropriate rigor of audit;
• Having procedures for initial qualification and subsequent monitoring of auditors/experts based on ISO 19011 and the specific requirements given in OHSAS 18001;
• Estimating audit days in accordance with IAF MD 5, Duration of QMS and EMS Audits, required for audits to verify compliance with the OHSAS 18001 standard;
• Having procedures for establishing the audit days required for all types of assessments, including multisite organizations and transfer of certificates situations.

A5.2 Scope subsectors/categories
This section highlights the available subsectors/categories of accreditation under OHSAS certification:
• Dangerous Goods
• Vehicle/pedestrian interaction (including fork-lifts)
• Powered plant (including building plant rooms)
• Other plant (including scaffolding) or mechanical hazards
• Manual handling (includes Occupational Overuse Syndrome)
• Hazardous substances (includes asbestos)
• Atmospheric contaminants other than hazardous substances (excludes confined spaces)
• Use of ionizing or non-ionizing radiation
• Confined Space
• Slips, trips and falls
• Noise
• Thermal environment
• Below ground work environment
• Storage and/or use of explosives
• Electrical hazards
• Pressurized environment
• Threats of bullying, violence or occupational assault

A5.3 Classification of OH&S Sectors: Scope Classification
This list of scopes of accreditation is based on Appendix 1 of this accreditation criteria (AC477). IAS adopts the 39 scope sectors recognized by the International Accreditation Forum (IAF) and utilizes IAF ID 1: QMS Scopes of Accreditation.

APPENDIX 6
IAS requirements for ISO 13485, Medical devices – Quality Management System certification.

A6.1 Additional Requirements
IAF MD 9, Application of ISO/IEC 17021 in Medical Device Quality Management Systems

A6.2 Scope
Accreditation by IAS signifies the certification body has competencies to offer QMS Medical Device certification within the approved IAS scope of accreditation by having competence in:
• Non-active Medical Devices
• Non-active implants
Devices for wound care
Non-active dental devices and accessories
Non-active medical devices other than specified above
General active medical devices
Devices for imaging
Devices utilizing ionizing rays
Devices utilizing non-ionizing rays
Monitoring devices
Devices for radiation therapy and thermo therapy
Active (non-implantable) medical devices other than specified above
Active Implantable Medical
General active implantable medical devices
Implantable medical devices other than specified above
In Vitro Diagnostic Medical Devices (IVD)
In Vitro Diagnostic Instruments and software
IVD medical devices other than specified above
Sterilization Method for Medical Devices
Devices incorporating/utilizing specific substances/technologies

APPENDIX 7
IAS requirements for ISO 50001 Certification Bodies operating Energy Management Systems (EnMS) certification.

A7.1 Additional Requirements
Accreditation by IAS signifies the certification body has competencies to offer EnMS certification within the granted IAS scope of accreditation by having competence in:
- energy terminology
- energy principles
- legal and other requirements
- assessing energy performance indicators and evaluation
- energy systems
- energy consumption processes
- skills related to measurement, monitoring and analysis of energy data keeping abreast of the technological and legal developments relevant to the EnMS certification sought by the client
- having technical expertise of auditors providing appropriate rigor of audit
- having procedures for initial qualification and subsequent monitoring of auditors/expert

A7.2 Scopes
IAS offers accreditation in the following EnMS sectors as defined below:
- Commercial Buildings
- Industry-light to medium
- Heavy industry.
- Transportation
- Energy supply
- Building Complexes
- Mining and energy supply

Note: Additional or equivalent sectors can be considered as per CB’s request. Each sector must meet the competence requirements as listed in A7.1 above.

APPENDIX 8

A8.1 Additional Requirements
IAS recognizes competence of a validation and/or verification body based on specific standard(s) within an approved accreditation. Validation/verification of bodies or projects is a risk-based analysis carried out in conformance with ISO 14064-3:2006 and ISO 14065:2007.

A8.2 Validation/Verification Bodies
ISO 14065 is an International Standard which sets out requirements for bodies that undertake Greenhouse Gas (GHG) validation or verification using ISO 14064-3 or other relevant standards or specifications. Therefore, ISO 14065 provides to GHG program administrators, regulators and accreditors, a basis for assessing and recognizing the competence of validation or verification bodies (V/VB).

A8.3 Additional Requirements
- ISO 14064-2 Greenhouse gases - Part 2: Specification with guidance at the project level for quantification, monitoring and reporting of greenhouse gas emission reductions or removal enhancements.
- ISO 14066 Greenhouse gases - Competence requirements for greenhouse gas validation teams and verification teams.
A8.4 Scopes

Applicable to validation or verification bodies (V/VB) for the following validation or verification criteria:

- ISO 14064-1 or ISO 14064-2; or
- Publicly available regulated GHG programs which have been developed using a formal stakeholder engagement process; or
- Publicly available GHG programs (e.g., World Resources Institute and World Business Council for Sustainable Development [WRI/WBCSD] GHG protocol) that are international or regional and have been developed using a formal stakeholder engagement process; or
- Non-public industry or sector protocols; in this case the validation or verification criteria shall additionally include either ISO 14064-1 or ISO 14064-2 dependent on whether the protocol relate to organization or project GHG assertions. The resulting validation or verification statement shall clearly state whether the non-public industry or sector protocol conforms to ISO 14064-1 or ISO 14064-2 and if the protocol does not conform it shall state where the discrepancies are.