

ACCREDITATION CRITERIA FOR MANAGEMENT SYSTEM CERTIFICATION BODIES

AC477

**September 2019
(Effective November 1, 2019)**

PREFACE

The attached accreditation criteria have been issued to provide all interested parties with guidelines on implementing performance features of the applicable standards referenced herein. The criteria were developed and adopted following public hearings conducted by the International Accreditation Service, Inc. (IAS), Accreditation Committee and are effective on the date shown above. All accreditations issued or reissued on or after the effective date must comply with these criteria. If the criteria are 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. These 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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ACCREDITATION CRITERIA FOR MANAGEMENT SYSTEM CERTIFICATION BODIES

1. INTRODUCTION

- 1.1. **Scope:** These criteria set forth the requirements for obtaining and maintaining International Accreditation Service, Inc. (IAS), Management System Certification Body accreditation. The criteria supplement the IAS Rules of Procedure for Management System Certification Bodies.
- 1.2. **Normative and Reference Documents:** Publications listed below refer to current editions (unless otherwise stated).
 - 1.2.1. ISO/IEC Standard 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 1: Requirements.
 - 1.2.2. ISO/IEC Standard 17021 series of standards as applicable.
 - 1.2.3. All IAF Mandatory Documents (MD).
(http://www.iaf.nu/articles/Mandatory_Documents_/38)
 - 1.2.4. IAF Resolutions related to accreditation bodies and transitions as available on the IAF website.
 - 1.2.5. All IAF Informative Documents (ID).
(http://www.iaf.nu/articles/Informative_Documents_/32)
 - 1.2.6. ISO/IEC Standard 17000, Conformity assessment – Vocabulary and general principles.

2. DEFINITIONS

- 2.1. Applicable definitions found in ISO/IEC Standard 17000 series apply.
- 2.2. **APAC:** Asia Pacific Accreditation Cooperation
- 2.3. **CAB:** Conformity Assessment Body
- 2.4. **IAF:** International Accreditation Forum
- 2.5. **MSCB:** Management System Certification Body
- 2.6. **Witness Audits:** Certification audits that are observed by an IAS assessor

3. ELIGIBILITY

- 3.1. Accreditation services are available to all third-party Management System Certification Bodies that meet the following requirements:
 - 3.1.1. Have at least one certified customer
 - 3.1.2. Have completed at least one Internal Audit and one Management Review
 - 3.1.3. Have a complete and demonstrable management system based on the requirements of the ISO/IEC 17021 series of standards (as applicable)
 - 3.1.4. Have at least one auditor or pool of auditors approved for each IAF technical cluster, critical code, technical area or category in the requested scope of accreditation.

- 3.2. Accreditation services are available for all third-party Management System Certification Bodies who provide certification for the disciplines listed in Annex A. These publications refer to current editions (unless otherwise stated). IAS may consider requests for recognition of other disciplines on a case-by-case basis.

4. **REQUIRED BASIC INFORMATION – Initial Accreditation**

- 4.1. **Applicant Management System Certification Body:** The following must be provided when seeking a quotation for accreditation:

- 4.1.1. IAS Desired Scope of Accreditation Form (Available under “Scope Document” within portal)
- 4.1.2. Formal Application through IAS Portal
- 4.1.3. Information regarding current or past accreditation status, including, but not limited to:
 - 4.1.3.1. Any negative findings that are currently unresolved according to accreditation body procedures
 - 4.1.3.2. Any outstanding payment to an IAF member accreditation body
 - 4.1.3.3. Any sanctions that have been brought against the CB within the past five years and the reasons for those sanctions.

- 4.2. **Applicant Management System Certification Body – Initial Assessment:** The following must be provided prior to IAS scheduling of an initial onsite assessment:

- 4.2.1. IAS online application form and associated fee
- 4.2.2. Proposed scope request (Desired Scope of Accreditation Form)
- 4.2.3. Quality documentation and associated procedures (See clause 10 of ISO/IEC 17021-1:2015)
- 4.2.4. List of all auditors and decision makers, including information on the IAF codes, categories or technical areas for which listed individuals have demonstrated competence (See clause 7.2 of ISO/IEC 17021-1:2015 and IAF MD10)
- 4.2.5. List of all certified customers
- 4.2.6. List of entities operating on behalf of the certification body (this includes branch offices, franchisees, subcontractors, etc.) (See IAF MD23)
- 4.2.7. List of countries in which certifications have been issued (See IAF MD23 and IAF MD12)

- 4.3. **Applicant/Accredited Management Systems Certification Bodies – Onsite Assessment:**

The following must be provided prior to any office assessment:

- 4.3.1. Remote Office Assessment (when possible)

- 4.3.1.1. Arrangements for video/remote conferencing
- 4.3.1.2. Copy of latest quality documentation and supporting procedures, forms, work instructions, etc.
- 4.3.1.3. Internal Audit/Management Review input/output evidence
- 4.3.1.4. Information on complaints and appeals received within the last two (2) years
- 4.3.1.5. Any internal corrective actions and the evidence supporting their closure and verification
- 4.3.1.6. Certified customer files as requested by the assessment team
- 4.3.2. Onsite Office Assessment
 - 4.3.2.1. Copy of latest quality documentation and supporting procedures, forms, work instructions, etc.
 - 4.3.2.2. Internal Audit/Management Review input/output evidence
 - 4.3.2.3. Information on complaints and appeals received within the last two (2) years
 - 4.3.2.4. List of all subcontractors/agents/franchisees/partners, etc., including information regarding area/region of operations, number of certificates issued, and operational control measures taken on behalf of the CB
 - 4.3.2.5. Evidence demonstrating the CB's commitment to identifying, analyzing and managing risks, including those relating to impartiality/conflict of interest (ISO/IEC 17021-1:2015 clause 5.2.3), liability and financing (ISO/IEC 17021-1:2015 clause 5.3.1), operational control (ISO/IEC 17021-1:2015 clause 6.2.1), personnel (ISO/IEC 17021-1:2015 clause 7.2.9), control of entities operating on behalf of accredited CBs (IAF MD23 clause 1.1) and the specific risks associated with markets served (ISO/IEC 17021-1:2015 clause 9.1.4.2 g).

4.4. Applicant/Accredited Management System Certification Bodies - Witnessing: The following must be provided prior to any witness assessment:

- 4.4.1. Schedule and information for witness audits to be conducted
- 4.4.2. Auditor documents (confidentiality/impartiality agreement, contract, competence evaluation)
- 4.4.3. Audit program (full certification cycle)
- 4.4.4. Audit plan (specific to each audit being witnessed)
- 4.4.5. Stage 1 results (if applicable)
- 4.4.6. Logistical arrangements (e.g., travel, accommodation) for assessment team

Note: For witness audits, the number of auditors should not be more than double the number of assessors (2 auditors; 1 assessor) as this prevents adequate assessment of competence. If no other choice, CBs must seek permission from IAS head office to exceed this ratio.

- 4.5. **Accredited Management System Certification Bodies – Scope Expansion:** The following must be provided prior to any scope expansion assessment:
- 4.5.1. Remote Scope Expansion (when possible)
 - 4.5.1.1. Information regarding competence of personnel involved with the certification process (auditors, decision makers, application reviewers, personnel determining audit time, etc.)
 - 4.5.1.2. At least one complete customer file (application received to certificate issued) demonstrating effectiveness of the certification process for the requested expansion.
 - 4.5.1.3. Actions to address risks related to the scope expansion
 - 4.5.2. Onsite Scope Expansion (Refer to IAF MD17)
 - 4.5.2.1. Any code listed as critical must be witnessed prior to granting accreditation
 - 4.5.2.2. The full scope of a certification body must be witnessed within the first accreditation cycle. After the initial cycle, IAS reserves the right to reduce the witnessing requirements so that full scope is witnessed within the next two cycles, when appropriate
 - 4.5.2.3. For discipline-specific witnessing requirements, please refer to the applicable IAF Mandatory Document.
 - 4.5.3. Scope Expansion during normal Surveillance/Reassessment
 - All of the above required information under 4.5.2 and:
 - 4.5.3.1. Prior written notice to IAS and the assessment team (at least two weeks)
 - 4.5.3.2. Any scope expansion requested while the assessment team is present may only be conducted with authorization from the IAS head office

Note: Please refer to MD 16, 17 and 22 for discipline specific witnessing requirements.

- 4.6. **Applicant/Accredited Management Systems Certification Bodies – Response to Findings:** The following criteria must be met when responding to findings issued by IAS personnel:

All finding responses must include effective Root Cause Analysis

- 4.6.1. Root cause analysis should include:
- 4.6.1.1. Identification of the root issue
 - 4.6.1.2. Evaluation of additional impacts
 - 4.6.1.3. Actions taken to address the immediate impacts
 - 4.6.1.4. Actions taken to address ongoing impacts
 - 4.6.1.5. Plan for verification of effectiveness of actions taken
 - 4.6.1.6. Timeframe for completion of actions
- 4.6.2. All findings responses must include objective evidence (where applicable); objective evidence must be:

- 4.6.2.1. Submitted in English
 - 4.6.2.2. Appropriately identified and organized
 - 4.6.2.3. Accompanied by a narrative describing the complete corrective action process for the specific finding
- 4.7. **Accredited Management Systems Certification Bodies – Unannounced Visits:** The following requirements must be observed by both CBs and their certified customers:
- 4.7.1. Should IAS assessors arrive to either CB or certified customer site unannounced, they must be permitted unrestricted access to the facility, management system documentation, and all associated records
 - 4.7.2. The certified customer must have a readily available copy of the last audit report issued by the CB
 - 4.7.3. Have demonstrable evidence of the certification process (e.g., Management Review, closure of findings, corrective action)
- 4.8. **Accredited Management Systems Certification Bodies – Standard Transitions:** The following is required when transitioning to new standard editions:
- 4.8.1. At least one witness assessment (at IAS discretion)
 - 4.8.2. Competent personnel conducting all parts of the certification process
 - 4.8.3. Prior notice (at least two weeks before assessment) of intention to transition

5. ADDITIONAL INFORMATION (AS APPLICABLE)

- 5.1. All requested scopes must be in the format used in the IAS MSCB pre-application form
- 5.2. Additional standards and guidelines will be used when performing assessments of the respective certification disciplines as listed in Annex A. These publications refer to current editions (unless otherwise stated).

6. LINKS TO ADDITIONAL REFERENCES

- 6.1. Food Safety System Certification (FSSC) – www.fssc22000.com
- 6.2. International Accreditation Forum (IAF) – www.iaf.nu
- 6.3. International Organization for Standardization (ISO) – www.iso.org
- 6.4. Pacific Accreditation Cooperation (PAC) – www.apec-pac.org
- 6.5. Asia Pacific Accreditation Cooperation (APAC) - <https://www.apac-accreditation.org/>

These criteria were previously issued June 2013, February 2014, February 2015, February 2016, April 2017 and September 2018.

Annex A: Informational Purposes only. References may be outdated (Strikeouts indicate the standard has been withdrawn and is no longer offered for initial accreditation, except when approved by IAS head office)

Program Status	IAS Abbreviation	Main Standard	Additional Accreditation Level Document(s)	Certification Standard(s)
→ → → → → →	QMS (Quality)	ISO/IEC 17021-1:2015	ISO/IEC 17021-3:2017	ISO 9001:2015
	EMS (Environmental)	ISO/IEC 17021-1:2015	ISO/IEC 17021-2:2016	ISO 14001:2015
	OHSAS (Occupational)	ISO/IEC 17021-1:2015	ISO/IEC TS 17021-10:2018	ISO 45001:2017
	FSMS (Food Safety)	ISO/IEC 17021-1:2015	ISO/TS 22003:2013	ISO 22000:2018
	FSSC (Food System)	ISO/IEC 17021-1:2015	ISO/TS 22003:2013	FSSC 22000 V5.0
	ISMS (Information Security)	ISO/IEC 17021-1:2015	ISO/IEC 27006:2015	ISO/IEC 27001:2013
	ITSMS (Info. Tech. Service)	ISO/IEC 17021-1:2015	ISO/IEC 20000-6:2017	ISO/IEC 20000-1:2018
	BCMS (Business Continuity)	ISO/IEC 17021-1:2015	ISO/IEC TS 17021-6:2014	ISO 22301:2012
	MED-QMS (Medical Quality)	ISO/IEC 17021-1:2015	N/A	ISO 13485:2016
	EnMS (Energy)	ISO/IEC 17021-1:2015	ISO 50003:2014	ISO 50001:2018
	ABMS (Anti-Bribery)	ISO/IEC 17021-1:2015	ISO/IEC TS 17021-9:2016	ISO 37001:2016
	GHG-VVB (Green House Gas)	ISO/IEC 17021-1:2015	ISO 14066:2011 ISO 14064-1:2006 ISO 14064-2:2006 ISO 14064-3:2006	ISO 14065:2013
	AMS (Asset Man.)	ISO/IEC 17021-1:2015	ISO/IEC TS 17021-5:2014	ISO 55001:2014
→	LS-ET-SP (Learning Services)	ISO/IEC 17021-1:2015	N/A	ISO 29990:2010
	ESMS (Event Sustain.)	ISO/IEC 17021-1:2015	ISO/IEC TS 17021-4:2013	ISO 20121:2012
	RTSMS (Road Traffic)	ISO/IEC 17021-1:2015	ISO/IEC TS 17021-7:2014	ISO 39001:2012
	SDCMS (Sustain. Comm. Dev.)	ISO/IEC 17021-1:2015	ISO/IEC TS 17021-8:2019	ISO 37101:2016
	FMMS (Facility Management)	ISO/IEC 17021-1:2015	ISO/IEC DTS 17021-11 (Currently Under Development)	ISO 41001:2018