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ACCREDITATION CRITERIA FOR MANAGEMENT SYSTEM CERTIFICATION BODIES

AC477

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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. All IAF Mandatory Documents (MD)
(http://www.iaf.nu/articles/Mandatory_Documents_/38)
 - 1.2.3. IAF Resolution 2015-14. Accredited certification bodies shall not issue non-accredited certifications in accredited scope fields.
 - 1.2.4. IAF Resolution 2016-17. Accredited certification documentation must display the accreditation body symbol/mark.
 - 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. ACRONYMS AND DEFINITIONS

Applicable definitions found in ISO/IEC Standard 17000 series apply.

- 2.1. IAF: International Accreditation Forum
- 2.2. MSCB: Management System Certification Body
- 2.3. 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 management system based on the requirements of the ISO/IEC 17021 series of standards (as applicable)
 - 3.1.4. Have at least one auditor approved for all IAF codes/technical areas in the requested scope of accreditation.

3.2. Accreditation services are available for all third-party Management System Certification Bodies that provide certification for the following disciplines:

- 3.2.1. ISO 9001: Quality management systems – Requirements (QMS)
- 3.2.2. ISO 13485: Medical devices – Quality management systems – Requirements for regulatory purposes (MDQMS)
- 3.2.3. ISO 14001: Environmental management systems – Requirements with guidance for use (EMS)
- 3.2.4. ISO 14065: Greenhouse gasses – Requirements for greenhouse gas validation and verification bodies for use in accreditation or other forms of recognition (GGVV)
- 3.2.5. OHSAS 18001: Occupation health and safety management systems. Requirements (OHSMS)
- 3.2.6. ISO 20000-1: Information technology – Service management – Part 1: Service management system requirements (ITSMS)
- 3.2.7. ISO 22000: Food safety management systems – Requirements for any organization in the food chain (FSMS)
- 3.2.8. FSSC 22000: Food Safety System Certification (FSSC)
- 3.2.9. ISO 22301: Societal security – Business continuity management systems – Requirements (BCMS)
- 3.2.10. ISO/IEC 27001: Information technology – Security techniques – Information security management systems – Requirements (ISMS)
- 3.2.11. ISO 50001: Energy Management Systems – A practical guide for SMEs (EnMS)
- 3.2.12. ISO 37001: Anti-bribery management systems – Requirements with guidance for use (See Annex A)
- 3.2.13. ISO 55001: Asset management – Management systems – Requirements (See Annex B)

4. REQUIRED BASIC INFORMATION

4.1. Certification bodies must provide the following when seeking a quote for accreditation:

- IAS Pre-application form

4.2. Certification bodies must provide the following prior to IAS scheduling of an initial onsite assessment:

- 4.2.1. IAS application form and associated fee
- 4.2.2. Final scope request
- 4.2.3. Quality Manual and associated procedures
- 4.2.4. List of all auditors, including IAF code approval
- 4.2.5. List of all certified customers

4.2.6. Planned audit schedule for the year

4.3. Certification bodies must provide the following prior to IAS onsite assessment:

4.3.1. Schedule for witness audits to be conducted

4.3.2. Logistical arrangements for travel for assessment team

5. ADDITIONAL INFORMATION (AS APPLICABLE)

5.1. All requested scopes must be in the format used in the IAS MSCB application form.

5.2. The following supplemental standards and guidelines will be used when performing assessments of the respective certification disciplines:

5.2.1. ISO 9001: Quality management systems – Requirements (QMS)

- 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.

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

- 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.

5.2.3. OHSAS 18001: Occupation health and safety management systems. Requirements (OHSMS)

- No supplemental standards or guidelines

5.2.4. ISO 20000-1: Information technology – Service management – Part 1: Service management system requirements (ITSMS)

- No supplemental standards or guidelines

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

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

5.2.6. FSSC 22000: Food Safety System Certification (FSSC)

5.2.7. ISO 22301: Societal security – Business continuity management systems – Requirements (BCMS)

- ISO/IEC TS 17021-6, Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 6: Competence requirements for auditing and certification of business continuity management systems

- 5.2.8. ISO/IEC 27001: Information technology – Security techniques – Information security management systems – Requirements (ISMS)
 - ISO/IEC 27006, Information technology - Security techniques - Requirements for bodies providing audit and certification of information security management systems
- 5.2.9. ISO 13485: Medical devices – Quality management systems – Requirements for regulatory purposes (MDQMS)
 - No supplemental standards or guidelines
- 5.2.10. ISO 14065: Greenhouse gasses – Requirements for greenhouse gas validation and verification bodies for use in accreditation or other forms of recognition (GGVV)
 - 5.2.10.1. ISO 14064-1, Greenhouse gases - Part 1: Specification with guidance at the organization level for quantification and reporting of greenhouse gas emissions and removals
 - 5.2.10.2. 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
 - 5.2.10.3. ISO 14064-3, Greenhouse gases - Part 3: Specification with guidance for the validation and verification of greenhouse gas assertions
 - 5.2.10.4. ISO 14066, Greenhouse gases - Competence requirements for greenhouse gas validation teams and verification teams
- 5.2.11. ISO 50001: Energy Management Systems – A practical guide for SMEs (EnMS)
 - No supplemental standards or guidelines
- 5.2.12. ISO 37001: Anti-bribery management systems – Requirements with guidance for use
 - ISO/IEC TS 17021-9, Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 9: Competence requirements for auditing and certification of anti-bribery management systems.
- 5.2.13. ISO 55001, Asset management – Management systems – Requirements
 - ISO/IEC TS 17021-5, Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 5: Competence requirements for auditing and certification of asset management systems.

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

These criteria were previously issued June 2013, February 2014, February 2015 and February 2016

Annex A

ISO 37001, Anti-bribery management systems

Introduction

ISO 37001:2016 is applicable only to bribery. It sets out requirements and provides guidance for a management system designed to help an organization to prevent, detect and respond to bribery and comply with anti-bribery laws and voluntary commitments applicable to its activities.

Scope of Requirements

ISO 37001 addresses the following in relation to the organization's activities:

- Bribery in the public, private and not-for-profit sectors;
- Bribery by the organization;
- Bribery by the organization's personnel acting on the organization's behalf or for its benefit;
- Bribery by the organization's business associates acting on the organization's behalf or for its benefit;
- Bribery of the organization;
- Bribery of the organization's personnel in relation to the organization's activities;
- Bribery of the organization's business associates in relation to the organization's activities;
- Direct and indirect bribery (e.g., a bribe offered or accepted through or by a third party).

ISO 37001 does not specifically address fraud, cartels and other anti-trust/competition offences, money-laundering or other activities related to corrupt practices, although an organization can choose to extend the scope of the management system to include such activities.

Benefits

ISO 37001 specifies a series of measurable processes to help organizations do the following:

- Prevent, detect and address bribery
- Risk assessments
- Appointing a person to oversee anti-bribery compliance
- Implementing financial and commercial controls
- Plan training
- Establishing reporting and investigation procedures
- Conduct due diligence on projects and business associates

Designed to help organizations implement an anti-bribery management system, or enhance the controls to reduce the risk of bribery occurring and provide confidence to stakeholders that internationally recognized good-practice anti-bribery controls are in place.

Annex B

ISO 55001, Asset management

Introduction

Assets and its derived value are the basis for any organization. This may be public or private sector and whether the assets are physical, financial, human or 'intangible,' good asset management could maximize value-for-money and satisfaction of stakeholders' expectations. Asset management is a systematic process of deploying, operating, maintaining, upgrading and disposing of assets cost-effectively.

Some examples are as follows:

1. In financial asset management, the management of investment managers managing pension funds
2. In engineering environment:
 - a. Practice of managing assets to achieve the greatest return, particularly useful for productive assets such as plant and equipment.
 - b. Process of monitoring and maintaining facilities systems, with the objective of providing the best possible service to users.

Scope of Requirements

- Understand the organization
- Understand the needs and expectations of stakeholders
- Determine the scope of the asset management system
- Leadership and commitment/policy/organizational roles, responsibilities and authorities
- Actions to address risks and opportunities for the asset management system
- Asset management objectives, and planning to achieve them
- Resources/competence/awareness/communication
- Information requirements
- Documented information
- Operational planning and control
- Management of change
- Outsourcing
- Performance evaluation
- Continual improvement

Benefits

The measurable results of an effective asset management will help organizations to:

- Align processes, resources and functional contributions (instead of departmental silos, short-term priorities).
- Create transparent audit trails for what is done, when and why.
- Better understand and use of data and information to provide informed and consistent decisions.
- Improve planning (especially capital expenditure).
- Consistently, prioritized and audit risk management.
- Align and coordinate existing initiatives, including competency development.
- Engage the workforce, including leadership, communications and cross-disciplinary teamwork.