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July 27, 2018

TO: IAS-ACCREDITED PRODUCT CERTIFICATION AGENCIES AND OTHER INTERESTED PARTIES

SUBJECT: Proposed Revisions to the Accreditation Criteria for Product Certification Agencies, Subject AC370-0918-0918-R1 (KE/MS)

Hearing Information:
IAS Accreditation Committee
Thursday, September 27, 2018
8:00 a.m.
Fullerton Marriott at California State University
2701 Nutwood Avenue
Fullerton, CA 92831
(714) 738-7800

Dear Madam or Sir:

The proposed IAS Accreditation Criteria for Product Certification Agencies, AC370, has been placed on the agenda for committee consideration at the above-noted meeting.

The following additions are being proposed:

Line Number	Proposed AC370 Section Number	Addition	Reason for addition
47	1.2.10	Reference to GLOBALG.A.P General Regulations	IAS is now recognized by GlobalG.A.P as an accreditation body under its scheme. These regulations are required for organizations seeking accreditation to the GlobalG.A.P program
80	5.1	Changed the term “visited” to “audited”	This will give greater flexibility to CBs to determine which auditing technique works best under their certification.

83-86	5.1	Adding Note	This note clarifies the different auditing techniques available.

You are cordially invited to submit written comments, or to attend the committee hearing and present verbal comments. Written comments will be forwarded to the committee, **prior to the hearing**, if received by **September 6, 2018**. Please use the comment form link found on the Accreditation Committee meeting page on the IAS website, www.iasonline.org. Comments may be postal mailed to the address above, or emailed to iasinfo@iasonline.org.

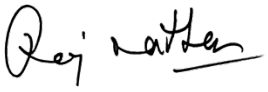
Any written material submitted for committee consideration will be available for public distribution as set forth in Section 4.0 of the Rules of Procedure for Accreditation Committee Meetings (copy enclosed).

Visual aids (including, but not limited to, charts, slides, videos, or presentation software) for viewing at meetings will be permitted only if the presenter provides to IAS, before the presentation, a copy of the visual aid(s) in a medium that can be retained by IAS with its record of the meeting, and that can also be provided to interested parties.

Your cooperation is requested in forwarding to the **Brea** office, as noted above, all material directed to the committee. Prior to the hearing, parties interested in the deliberations of the committee should refrain from communicating, whether in writing or verbally, with committee members regarding agenda items. The committee reserves the right to refuse communications that do not comply with this request.

If you have any questions, please contact Karthik Easwar, P.E., Manager, Accreditation, at 562-364-8201, extension 3225, or the undersigned at 562-364-8201. You may also reach us by e-mail at iasinfo@iasonline.org

Yours very truly,



Raj Nathan
President

RN/ke/ms

Enclosures

Cc/ Accreditation Committee

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RULES OF PROCEDURE FOR ACCREDITATION COMMITTEE MEETINGS

1.0 PURPOSE

The purpose of the Accreditation Committee and its meetings is to safeguard IAS' impartiality to monitor the work of and to approve accreditation criteria for International Accreditation Service, Inc. (IAS).

The committee meetings, which are open public hearings, provide an opportunity for effective involvement by all interested parties.

2.0 MEETINGS

2.1 The Accreditation Committee shall schedule meetings that are open to the public in discharging its duties under Section 1, subject to Section 5.0 of these rules.

2.2 To properly discharge its responsibilities with respect to monitoring of IAS accreditation activities, the committee shall have a standing item on its meeting agenda for a presentation by staff on the status of its accredited programs and information on any pending appeals.

2.3 All scheduled meetings shall be publicly announced.

2.4 A majority of the voting Accreditation Committee members shall constitute a quorum. A majority vote of members present is required on any action.

2.5 If a specific interest group is not represented, votes by the committee on subjects related to that interest group will be held in abeyance. IAS staff shall make pertinent information available to absentee committee members, and ballot the members at a later stage. Records of such ballots shall be made available upon request.

2.6 In the absence of the nonvoting Chair-Moderator, Accreditation Committee members present shall elect an alternate Chairman from the committee for that meeting. The alternate Chairman shall be counted as a voting committee member for purposes of maintaining a committee quorum and to cast a tie-breaking vote of the committee.

2.7 Minutes of the meetings shall be kept.

3.0 MEMBER COMPETENCE CRITERIA

Members of the Accreditation Committee shall be familiar with conformity assessment and the implementation of regulatory requirements within their industry sector. They shall possess:

- A Baccalaureate degree from an accredited institution or a minimum of ten years equivalent experience as determined by IAS;
- Current employment within the conformity assessment, regulatory field, academia, industry, or IAS accredited CAB; and
- Demonstrated expertise in one or more accreditation programs offered by IAS.

4.0 MEETING RECORDS

An electronic record of meetings shall be made by IAS; no other audio, video, electronic or stenographic recordings of the meetings will be permitted. Visual aids (including, but not limited to, charts, slides, videos, or presentation software) viewed at meetings shall be permitted only if the presenter provides IAS before presentation with a copy of the visual aid in a medium which can be retained by IAS with its record of the meeting and which can also be provided to interested parties requesting a copy. A copy of the IAS recording of the meeting and such visual aids, if any, will be available to interested parties upon written request made to IAS together with a payment as required by IAS to cover costs of preparation and duplication of the copy. These materials will be available shortly after the conclusion of the meeting but will no longer be available after 60 days have elapsed from the conclusion of the meeting.

5.0 WRITTEN COMMUNICATIONS AND SUBMISSIONS

Parties interested in the deliberations of the committee should refrain from communicating, whether in writing or verbally, with committee members regarding agenda items. All written communications and submissions regarding agenda items should be delivered to IAS. All such written communications and submissions shall be considered nonconfidential and available for discussion in open session of an Accreditation Committee meeting, and shall be delivered *at least twenty days* before the scheduled Accreditation Committee meeting if they are to be forwarded to the Committee. Correspondence received by IAS will not be released to any party, except to the Accreditation Committee, prior to the meeting without permission of the author. The committee reserves the right to refuse recognition of communications which do not comply with the provisions of this section. All such communications and submissions will be available from IAS upon written request and payment of costs associated with duplication. The materials will be available shortly after the conclusion of the meeting but will no longer be available after 60 days have elapsed from the conclusion of the meeting.

6.0 CLOSED SESSIONS

Meetings shall be open except that the chairman may call for a closed session to seek advice of counsel.

7.0 ACCREDITATION CRITERIA

Criteria are established by the committee to provide a basis for International Accreditation Service, Inc., accreditations. Consideration of accreditation criteria must be in conjunction with a current and valid application for an IAS accreditation listing or as otherwise determined by the Accreditation Committee.

7.1 Procedure

7.1.1 New Criteria

7.1.1.1 Proposed accreditation criteria may be submitted by interested parties to IAS, and/or shall be developed by the IAS staff and discussed in open session with the Accreditation Committee during a scheduled meeting

7.1.1.2 Proposed accreditation criteria shall be available to interested parties approximately 60 days before discussion at the committee meeting, unless determined by IAS management that extraordinary consideration and electronic balloting are needed.

7.1.1.3 The committee shall be informed of all pertinent written communications received by IAS. Parties interested in proposed new criteria may deliver communications and submissions regarding such proposed criteria to IAS within 40 days of the posting of the public notice on the IAS website. Such communications and submissions will otherwise be subject to the provisions of Section 4.0 of these rules.

7.1.1.4 Attendees at Accreditation Committee meetings shall have the opportunity to speak on accreditation criteria listed on the meeting agenda, to provide information to committee members.

7.1.2 Existing Criteria

7.1.2.1 Changes to existing accreditation criteria may be submitted by interested parties to IAS, and/or shall be changed by the IAS staff. Existing accreditation criteria may be revised by the committee either (i) at a public meeting pursuant to the procedures set forth herein, or (ii) by electronic ballot, provided public notice is provided as stipulated I Section 7.1.1.2.

7.1.2.2 The committee shall be informed of all pertinent written communications received by IAS. Parties interested in the proposed revisions to accreditation criteria may deliver communications and submissions regarding such proposed revisions to IAS within the following timelines:

Type	Dates
Public Meeting	40 Days after posting of proposed criteria
Electronic Balloting Process	30 Days after posting of proposed criteria

Such communications and submissions will otherwise be subject to the provisions of Section 4.0 of these rules.

7.1.3 ELECTRONIC BALLOTING

7.1.3.1 IAS management shall provide written rationale and seek permission and documented approval from the IAS Accreditation Committee chair to propose new criteria or to revise existing criteria for extraordinary consideration and electronic balloting by the committee.

7.1.3.2 Proposed accreditation criteria shall be available to interested parties approximately 30 days before consideration by the committee. All pertinent written communications received by IAS relating to the proposed criteria shall be received no later than 30 days after the posting of the criteria. Ballots, along with comments received and staff recommendations, will be submitted to the committee for consideration. The committee shall return their ballots with their recommendations within 10 days from the date ballots are sent. The results of the balloting will be compiled and forwarded to the chair of the committee for validation and decision.

7.1.3.3 The electronically balloted criteria shall be brought back to the next regularly scheduled accreditation committee hearing as per Section 7.1.2 of these rules,

7.1.4 Effective Date of Published Criteria

7.1.4.1 The effective date of approved accreditation criteria or approved revisions to existing accreditation criteria shall be no earlier than 30 days following the public meeting.

7.1.4.2 Approved criteria using electronic balloting shall be effective the date of posting of the criteria on the IAS website.

7.2 Approval

Approval of accreditation criteria shall be as specified in Section 2.4 of these rules.

8.0 ACCREDITATION COMMITTEE MEMBERS

8.1 The IAS Accreditation Committee members are appointed or reappointed annually by the IAS Board of Directors in consultation with the IAS President.

8.2 Committee members are selected from senior management positions within accredited organizations, users of accreditation, industry groups and governmental or regulatory organizations. The individuals appointed to the committee shall have knowledge of regulatory codes within their industry sector and international conformity assessment process and practices. ■

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PROPOSED REVISIONS TO THE ACCREDITATION CRITERIA FOR PRODUCT CERTIFICATION AGENCIES

AC370

Proposed September 2018

PREFACE

The attached accreditation criteria have been proposed to provide all interested parties with an opportunity to comment. These criteria may be further revised as needed. The criteria are developed and adopted following public hearings conducted by the International Accreditation Service, Inc. (IAS), Accreditation Committee and are effective on the first of the month following approval by the Accreditation Committee, but no earlier than 30 days following the approval.

PROPOSED REVISIONS TO THE ACCREDITATION CRITERIA FOR PRODUCT CERTIFICATION AGENCIES

1. INTRODUCTION

1.1. **Scope**: These criteria set forth the requirements for obtaining and maintaining International Accreditation Service, Inc. (IAS), Product Certification Agency accreditation. These criteria supplement the IAS Rules of Procedure for Product Certification Agency Accreditation.

1.2. **Normative and Reference Documents**: Publications listed below refer to current editions (unless otherwise stated).

1.2.1. ISO/IEC Standard 17065, Conformity assessment – Requirements for bodies certifying products, processes and services.

1.2.2. ISO/IEC Standard 17067, Conformity assessment – Fundamentals of product certification and guidelines for product certification schemes.

1.2.3. ISO/IEC Standard 17020, Conformity assessment – Requirements for the operation of various types of bodies performing inspection.

1.2.4. ISO/IEC Standard 17021-1, Conformity assessment – Requirements for bodies providing auditing and certification of management systems – Part 1: Requirements.

1.2.5. ISO/IEC Standard 17025, General requirements for the competence of testing and calibration laboratories.

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

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

1.2.8. IAF MD12: Accreditation Assessment of Conformity Assessment Bodies with Activities in Multiple Countries.

1.2.9. IAF ML 2: General Principles on the Use of the IAF MLA Mark.

1.2.10. GLOBALG.A.P General Regulations.

2. DEFINITIONS

Applicable definitions of ISO/IEC Standard 17000 series apply.

3. ELIGIBILITY

Accreditation services are available to a third-party certification agency that:

3.1. Certify products, processes or services,

3.2. Operates, or maintains a subcontract agreement with, a testing laboratory and inspection agency, that meet the requirements of ISO/IEC Standard 17065, Sections 6.2.2, External resources (outsourcing),

3.3. Has operated and provided certification services for at least six months in accordance with ISO/IEC 17065 and completed a minimum of one certification per major category of certification, including completion of the decision-making process and issuance of certificate.

4. REQUIRED BASIC INFORMATION

4.1. Certification agencies must demonstrate compliance with the following requirements:

4.1.1. ISO/IEC Standard 17065, Conformity assessment – Requirements for bodies certifying products, processes and services;

4.1.2. IAS Rules of Procedure for Product Certification Agency Accreditation;

4.1.3. Scheme requirements under which the certification is granted.

4.2. Certification programs for processes and services must have requirements for determining continued compliance, that include assessment of the management system and the actual process or service, at least once per year.

5. ADDITIONAL INFORMATION (AS APPLICABLE)

5.1. When the certification system used as the basis for a certification activity requires surveillance at the point of manufacturing or assembly, the certification agency must have requirements that every manufacturing or assembly plant producing certified products be visited to perform surveillance activities for certified products. In the absence of a generally recognized minimum surveillance frequency, the certification agency shall require that each manufacturing or assembly location authorized to produce the certified product be ~~visited~~ audited for the purpose of surveillance a minimum of once per year or in accordance with the scheme, whichever is more frequent.

Note: Surveillance auditing techniques, can include, but are not limited to:

- Onsite audit
- Remote audit
- Unannounced visits

5.2. Inspection agencies and testing laboratories used as part of the certification process must meet one of the following criteria:

5.2.1. Accreditation by IAS, or by another signatory to the International Laboratory Accreditation Cooperation (ILAC) Mutual Recognition Arrangement (MRA); or

5.2.2. Comply with ISO/IEC 17020 and/or ISO/IEC 17025 as applicable, determined through assessment of the inspection agency and/or testing laboratory by qualified certification agency personnel. In addition to the requirements given in ISO/IEC 17020 and/or ISO/IEC 17025, evidence of compliance shall include the qualifications of personnel

conducting the assessment, and a system for determining continued compliance that includes periodic onsite assessments, review of assessment reports, and corrective action reports.

5.3. Product certification agencies must comply with regulatory requirements of Authority Having Jurisdiction (AHJ) or other regulatory entities, including specific compliance requirements for qualification, licensing, etc., of personnel and operation of product certification body.

5.4. **Witnessing Inspection Activities**: When the certification scheme used as the basis for a certification activity requires the onsite evaluation of the production process or management system, IAS will periodically witness actual onsite inspections by each accredited certification agency. The selection of location and scope for witness activity shall be made by IAS, in consultation with the certification agency, based on various factors – risk, complexity, personnel changes, technology utilized, etc. Where possible, the full scope of accreditation will be reviewed over a full accreditation cycle.

5.5. **Witness Testing**: All witness testing activities conducted at a manufacturer's facility must be witnessed by technically competent certification agency staff who are trained not only in the test being witnessed, but in the appropriate sections of ISO/IEC Standard 17025. If the certification scheme to which the product is to be certified contains specific requirements or limitations pertaining to witness testing, the requirements of the certification scheme shall also apply. Appropriate measures must be taken for long-term testing or sample collection, where constant witnessing is not feasible, to ensure tampering of the sample or testing equipment does not take place.

5.6. **Use of Manufacturer's Data**: If the certification scheme to which the product is to be certified contains specific requirements or limitations pertaining to the use of manufacturer's data, the requirements of the certification scheme shall also apply.

If a certification agency plans to use test data generated and submitted by a manufacturer that is not part of witness testing, the certification agency must have a program in place to ensure validity and independence of the test data. The certification agency shall consider one or more of the following for such a program, and shall have justification for those it chooses not to utilize:

5.6.1. Auditing, including unannounced random visits to the manufacturer's laboratory, to ensure key requirements of ISO/IEC Standard 17025 are satisfied;

5.6.2. Performing random duplicate analyses;

5.6.3. Having the manufacturer's laboratory participate in proficiency testing programs, where available, for applicable test method;

5.6.4. Technical review of the raw test data rather than acceptance of just the result.

6. LINKS TO ADDITIONAL REFERENCES

6.1. Asia Pacific Laboratory Accreditation Cooperation – www.aplac.org

6.2. CARB ATCM – https://www.arb.ca.gov/toxics/compwood/compwood.htm

6.3. EPA Energy Star – https://www.energystar.gov/

6.4. EPA Formaldehyde – https://www.epa.gov/formaldehyde

6.5. EPA WaterSense – https://www3.epa.gov/watersense/

6.6. IAS – www.iasonline.org

6.7. International Code Council – www.iccsafe.org

6.8. International Accreditation Forum – www.iaf.nu

6.9. International Laboratory Accreditation Cooperation – www.ilac.org

6.10. Pacific Accreditation Cooperation – www.apec-pac.org

6.11. GLOBALG.A.P – https://www.globalgap.org/uk_en/

These criteria were previously issued May 2007, April 2008, October 2009, October 2011, June 2013, February 2014, ~~and~~ February 2015 and April 2017.