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July 27, 2018

**TO: IAS-ACCREDITED MANAGEMENT SYSTEMS CERTIFICATION BODIES  
AND OTHER INTERESTED PARTIES**

**SUBJECT: Proposed Revisions to the Accreditation Criteria for Management Systems  
Certification Bodies, Subject AC477-0918-0918-R1 (MS/PM)**

**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 Management Systems Certification Bodies, AC477, has been placed on the agenda for committee consideration at the above-noted meeting. The changes are being requested to accommodate on-going operations and expansion into new management system disciplines.

The changes proposed are summarized below:

1. Under 1.2:
  - a. Added reference to 17021 series of standards
  - b. Broadly mentioned IAF Resolutions
  - c. Removed mention of specific IAF Resolutions
2. Under 2:
  - a. Added identification of APAC: Asia Pacific Accreditation Cooperation
  - b. Added acronym CAB: Conformity Assessment Body
3. Under 3.1: Changed wording in last point to improve clarity
4. Under 3.2:
  - a. Added language to improve clarity

- b. Added line allowing for IAS consideration of disciplines not mentioned in the criteria
  - c. Removed extended list of disciplines offered
- 5. Under 4.1:
  - a. Added language for clarity
  - b. Added URL for IAS Portal
- 6. Under 4.2:
  - a. Added language for clarity
  - b. Added requirements for CBs to submit list of entities operating on their behalf as well as a list of countries of operation
- 7. Under 4.3:
  - a. Added language for clarity
  - b. Expanded information on what the CB must provide to IAS prior to onsite assessment
- 8. Under 5.2:
  - a. Added language for clarity
  - b. Removed extended list of disciplines offered
- 9. Under 6: Added reference to APAC and placeholder for APAC URL
- 10. Annex A:
  - a. Removed additional information on ISO 37001: Anti-Bribery Management Systems
  - b. Added comprehensive list of standards related to IAS MSCB Program
- 11. Annex B:
  - a. Removed additional information on ISO 55001: Asset Management Systems
  - b. Added glossary of MSCB standards and their full titles for reference

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](http://www.iasonline.org). Comments may be postal mailed to the address above, or emailed to [iasinfo@iasonline.org](mailto: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).

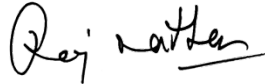
Visual aids (including, but not limited to, charts, slides, videos, or presentation software) for viewing at meetings will be permitted only if the presenter provides to IAS, before the presentation, a copy of the visual aid(s) in a medium that can be retained by IAS with its record of the meeting, and 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 Mohan Sabaratnam, Program Manager, at 562-364-8201, extension 3337, Patrick McCullen, Program Coordinator, at 562-364-8201, extension 3889, or the undersigned at 562-364-8201. You may also reach us by e-mail at [iasinfo@iasonline.org](mailto:iasinfo@iasonline.org).

Yours very truly,

A handwritten signature in black ink that reads "Raj Nathan". The signature is written in a cursive style with a horizontal line under the name.

Raj Nathan  
President

RN/nl

Enclosures

cc: Accreditation Committee



## **RULES OF PROCEDURE FOR ACCREDITATION COMMITTEE MEETINGS**

### **1 1.0 PURPOSE**

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

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

### **6 2.0 MEETINGS**

7 **2.1** The Accreditation Committee shall schedule meetings that are open to the public in discharging its duties under  
8 Section 1, subject to Section 5.0 of these rules.

9 **2.2** To properly discharge its responsibilities with respect to monitoring of IAS accreditation activities, the committee shall  
10 have a standing item on its meeting agenda for a presentation by staff on the status of its accredited programs and information  
11 on any pending appeals.

12 **2.3** All scheduled meetings shall be publicly announced.

13 **2.4** A majority of the voting Accreditation Committee members shall constitute a quorum. A majority vote of members  
14 present is required on any action.

15 **2.5** If a specific interest group is not represented, votes by the committee on subjects related to that interest group will be  
16 held in abeyance. IAS staff shall make pertinent information available to absentee committee members, and ballot the  
17 members at a later stage. Records of such ballots shall be made available upon request.

18 **2.6** In the absence of the nonvoting Chair-Moderator, Accreditation Committee members present shall elect an alternate  
19 Chairman from the committee for that meeting. The alternate Chairman shall be counted as a voting committee member for  
20 purposes of maintaining a committee quorum and to cast a tie-breaking vote of the committee.

21 **2.7** Minutes of the meetings shall be kept.

### **22 3.0 MEMBER COMPETENCE CRITERIA**

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

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

29 **4.0 MEETING RECORDS**

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

38 **5.0 WRITTEN COMMUNICATIONS AND SUBMISSIONS**

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

49 **6.0 CLOSED SESSIONS**

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

51 **7.0 ACCREDITATION CRITERIA**

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

55 **7.1 Procedure**

56 **7.1.1 New Criteria**

57 **7.1.1.1** Proposed accreditation criteria may be submitted by interested parties to IAS, and/or shall be developed by the  
58 IAS staff and discussed in open session with the Accreditation Committee during a scheduled meeting

59 **7.1.1.2** Proposed accreditation criteria shall be available to interested parties approximately 60 days before discussion  
60 at the committee meeting, unless determined by IAS management that extraordinary consideration and electronic balloting are  
61 needed.

62 **7.1.1.3** The committee shall be informed of all pertinent written communications received by IAS. Parties interested in  
63 proposed new criteria may deliver communications and submissions regarding such proposed criteria to IAS within 40 days of  
64 the posting of the public notice on the IAS website. Such communications and submissions will otherwise be subject to the  
65 provisions of Section 4.0 of these rules.

66 **7.1.1.4** Attendees at Accreditation Committee meetings shall have the opportunity to speak on accreditation criteria  
67 listed on the meeting agenda, to provide information to committee members.

68 **7.1.2 Existing Criteria**

69 **7.1.2.1** Changes to existing accreditation criteria may be submitted by interested parties to IAS, and/or shall be  
70 changed by the IAS staff. Existing accreditation criteria may be revised by the committee either (i) at a public meeting pursuant  
71 to the procedures set forth herein, or (ii) by electronic ballot, provided public notice is provided as stipulated I Section 7.1.1.2.

72 **7.1.2.2** The committee shall be informed of all pertinent written communications received by IAS. Parties interested in  
73 the proposed revisions to accreditation criteria may deliver communications and submissions regarding such proposed  
74 revisions to IAS within the following timelines:

75

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

76

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

78 **7.1.3 ELECTRONIC BALLOTING**

79 **7.1.3.1** IAS management shall provide written rationale and seek permission and documented approval from the IAS  
80 Accreditation Committee chair to propose new criteria or to revise existing criteria for extraordinary consideration and  
81 electronic balloting by the committee.

82 **7.1.3.2** Proposed accreditation criteria shall be available to interested parties approximately 30 days before  
83 consideration by the committee. All pertinent written communications received by IAS relating to the proposed criteria shall be  
84 received no later than 30 days after the posting of the criteria. Ballots, along with comments received and staff  
85 recommendations, will be submitted to the committee for consideration. The committee shall return their ballots with their  
86 recommendations within 10 days from the date ballots are sent. The results of the balloting will be compiled and forwarded to  
87 the chair of the committee for validation and decision.

88 **7.1.3.3** The electronically balloted criteria shall be brought back to the next regularly scheduled accreditation  
89 committee hearing as per Section 7.1.2 of these rules,

90 **7.1.4 Effective Date of Published Criteria**

91 **7.1.4.1** The effective date of approved accreditation criteria or approved revisions to existing accreditation criteria shall  
92 be no earlier than 30 days following the public meeting.

93 **7.1.4.2** Approved criteria using electronic balloting shall be effective the date of posting of the criteria on the IAS  
94 website.

95 **7.2 Approval**

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

97 **8.0 ACCREDITATION COMMITTEE MEMBERS**

98       **8.1**   The IAS Accreditation Committee members are appointed or reappointed annually by the IAS Board of Directors in  
99   consultation with the IAS President.  
100  
101       **8.2**   Committee members are selected from senior management positions within accredited organizations, users of  
102   accreditation, industry groups and governmental or regulatory organizations. The individuals appointed to the committee shall  
103   have knowledge of regulatory codes within their industry sector and international conformity assessment process and  
104   practices. ■



1 **PROPOSED REVISIONS TO THE ACCREDITATION CRITERIA FOR MANAGEMENT**  
2 **SYSTEM CERTIFICATION BODIES**

3  
4 **AC477**

5  
6  
7 **Proposed September 2018**

8  
9  
10  
11 **PREFACE**

12  
13  
14 The attached accreditation criteria have been proposed to provide all interested parties  
15 with an opportunity to comment. These criteria may be further revised as needed. The  
16 criteria are developed and adopted following public hearings conducted by the  
17 International Accreditation Service, Inc. (IAS), Accreditation Committee and are  
18 effective on the first of the month following approval by the Accreditation Committee, but  
19 no earlier than 30 days following the approval.  
20



21 **PROPOSED REVISIONS TO THE ACCREDITATION CRITERIA FOR MANAGEMENT SYSTEM**  
22 **CERTIFICATION BODIES**

23  
24 **1. INTRODUCTION**

25 1.1. **Scope:** These criteria set forth the requirements for obtaining and maintaining International  
26 Accreditation Service, Inc. (IAS), Management System Certification Body accreditation. The  
27 criteria supplement the IAS Rules of Procedure for Management System Certification Bodies.  
28

29 1.2. **Normative and Reference Documents:** Publications listed below refer to current editions  
30 (unless otherwise stated).

31 1.2.1 ISO/IEC Standard 17021-1, Conformity assessment – Requirements for bodies  
32 providing audit and certification of management systems – Part 1: Requirements

33 ~~1.2.1~~ 1.2.2 ISO/IEC Standard 17021 series of standards as applicable

34 ~~1.2.2~~ 1.2.3 All IAF Mandatory Documents (MD)

35 ([http://www.iaf.nu/articles/Mandatory\\_Documents\\_/38](http://www.iaf.nu/articles/Mandatory_Documents_/38))

36 ~~1.2.3~~ 1.2.4 IAF Resolutions related to accreditation bodies and transitions as available on the  
37 IAF website-2015-14. Accredited certification bodies shall not issue non-accredited  
38 certifications in accredited scope fields.

39 ~~1.2.4~~ 1.2.5 IAF Resolution 2016-17. Accredited certification documentation must display the  
40 accreditation body symbol/mark.

41 ~~1.2.5~~ 1.2.6 All IAF Informative Documents (ID)

42 ([http://www.iaf.nu/articles/Informative\\_Documents\\_/32](http://www.iaf.nu/articles/Informative_Documents_/32))

43 1.2.7 ISO/IEC Standard 17000, Conformity assessment – Vocabulary and general principles  
44

45 **2. ACRONYMS AND DEFINITIONS**

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

47 2.1. IAF: International Accreditation Forum

48 ~~2.1.2.2.~~ 2.1.2.2. APAC: Asia Pacific Accreditation Cooperation

49 2.3. MSCB: Management System Certification Body

50 ~~2.2.2.4.~~ 2.2.2.4. CAB: Conformity Assessment Body

51 ~~2.3.2.5.~~ 2.3.2.5. Witness Audits: Certification audits that are observed by an IAS assessor  
52

53 **3. ELIGIBILITY**

54 3.1. Accreditation services are available to all third-party Management System Certification Bodies  
55 that meet the following requirements:

56 3.1.1 Have at least one certified customer

57 3.1.2 Have completed at least one Internal Audit and one Management Review

58 3.1.3 Have a management system based on the requirements of the ISO/IEC 17021 series  
59 of standards (as applicable)

60 3.1.4 Have at least one auditor or pool of auditors approved for each IAF technical cluster,  
61 critical codes, / technical areas or category in the requested scope of accreditation  
62

63 3.2. Accreditation services are available for all third-party Management System Certification Bodies  
64 that provide certification for the following disciplines listed in Annex A and Annex B (Glossary).  
65 These publications refer to current editions (unless otherwise stated). IAS may consider requests  
66 for recognition of other disciplines on a case-by-case basis.

67 ~~3.2.1 ISO 9001: Quality management systems — Requirements (QMS)~~

68 ~~3.2.2 ISO 13485: Medical devices — Quality management systems — Requirements for~~  
69 ~~regulatory purposes (MDQMS)~~

70 ~~3.2.3 ISO 14001: Environmental management systems — Requirements with guidance for~~  
71 ~~use (EMS)~~

72 ~~3.2.4 ISO 14065: Greenhouse gasses — Requirements for greenhouse gas validation and~~  
73 ~~verification bodies for use in accreditation or other forms of recognition (GGVV)~~

74 ~~3.2.5 OHSAS 18001: Occupation health and safety management systems. Requirements~~  
75 ~~(OHSMS)~~

76 ~~3.2.6 ISO 20000-1: Information technology — Service management — Part 1: Service~~  
77 ~~management system requirements (ITSMS)~~

78 ~~3.2.7 ISO 22000: Food safety management systems — Requirements for any organization in~~  
79 ~~the food chain (FSMS)~~

80 ~~3.2.8 FSSC 22000: Food Safety System Certification (FSSC)~~

81 ~~3.2.9 ISO 22301: Societal security — Business continuity management systems —~~  
82 ~~Requirements (BCMS)~~

83 ~~3.2.10 ISO/IEC 27001: Information technology — Security techniques — Information security~~  
84 ~~management systems — Requirements (ISMS)~~

85 ~~3.2.11 ISO 50001: Energy Management Systems — A practical guide for SMEs (EnMS)~~

86 ~~3.2.12 ISO 37001: Anti-bribery management systems — Requirements with guidance for use~~  
87 ~~(See Annex A)~~

88 ~~3.2.13 ISO 55001: Asset management — Management systems — Requirements (See Annex~~  
89 ~~B)~~

90

#### 91 4. REQUIRED BASIC INFORMATION

92 4.1. Applicant Management System: Certification bodies must provide the following when seeking  
93 a quote for accreditation:

94 • IAS Pre-application form

95 • Formal application through IAS portal, <https://portal.iasonline.org/get-a-quote/>

- 96
- 97 | 4.2. **Applicant Management System:** Certification bodies must provide the following prior to IAS
- 98 | scheduling of an initial onsite assessment:
- 99 | 4.2.1 IAS application form and associated fee
- 100 | 4.2.2 ~~Proposed Final~~ scope request
- 101 | 4.2.3 Quality ~~documentation Manual~~ and associated procedures
- 102 | 4.2.4 List of all auditors ~~and decision makers~~, including information on the IAF codes,
- 103 | categories or technical areas approval for which listed individuals have demonstrated
- 104 | competence
- 105 | 4.2.5 List of all certified customers
- 106 | 4.2.6 List of entities operating on behalf of the certification body (this includes branch offices,
- 107 | franchisees, subcontractors, etc.) ~~Planned audit schedule for the year~~
- 108 | 4.2.7 List of countries in which certifications have been issued
- 109 |
- 110 | 4.3. **Management System:** Certification bodies must provide the following prior to IAS onsite
- 111 | assessment:
- 112 | 4.3.1 Schedule and information for witness audits to be conducted
- 113 | 4.3.2 Auditor documents (confidentiality/impartiality agreement, contract, competence
- 114 | evaluation )
- 115 | 4.3.3 Audit program (full certification cycle)
- 116 | 4.3.4 Audit plan (specific to audit being witnessed)
- 117 | 4.3.5 Stage 1 results (if applicable)
- 118 | 4.3.6 Logistical arrangements (e.g., for travel, accommodation) for assessment team
- 119 | 4.3.7 Updated quality documentation and associated procedures
- 120 |

## 121 | 5. ADDITIONAL INFORMATION (AS APPLICABLE)

- 122 | 5.1. All requested scopes must be in the format used in the IAS MSCB pre-application form.
- 123 |
- 124 | 5.2. ~~The following supplemental-Additional~~ standards and guidelines will be used when performing
- 125 | assessments of the respective certification disciplines as listed in Annex A and Annex B
- 126 | (Glossary). These publications refer to current editions (unless otherwise stated).
- 127 | ~~5.2.1 — ISO 9001: Quality management systems — Requirements (QMS)~~
- 128 | ~~• ISO/IEC TS 17021-3, Conformity assessment — Requirements for bodies providing~~
- 129 | ~~audit and certification of management systems — Part 3: Competence~~
- 130 | ~~requirements for auditing and certification of quality management systems.~~
- 131 | ~~5.2.2 — ISO 14001: Environmental management systems — Requirements with guidance for~~
- 132 | ~~use (EMS)~~

- 133                   • ~~ISO/IEC TS 17021-2, Conformity assessment – Requirements for bodies providing~~  
134                    ~~audit and certification of management systems – Part 2: Competence~~  
135                    ~~requirements for auditing and certification of environmental management systems.~~  
136   5.2.3 ~~OHSAS 18001: Occupation health and safety management systems. Requirements~~  
137                   ~~(OHSMS)~~  
138                   • ~~No supplemental standards or guidelines~~  
139   5.2.4 ~~ISO 20000-1: Information technology – Service management – Part 1: Service~~  
140                   ~~management system requirements (ITSMS)~~  
141                   • ~~No supplemental standards or guidelines~~  
142   5.2.5 ~~ISO 22000: Food safety management systems – Requirements for any organization in~~  
143                   ~~the food chain (FSMS)~~  
144                   • ~~ISO/TS 22003, Food safety management systems – Requirements for bodies~~  
145                    ~~providing audit and certification of food safety management systems~~  
146   5.2.6 ~~FSSC 22000: Food Safety System Certification (FSSC)~~  
147   5.2.7 ~~ISO 22301: Societal security – Business continuity management systems –~~  
148                   ~~Requirements (BCMS)~~  
149                   • ~~ISO/IEC TS 17021-6, Conformity assessment – Requirements for bodies providing~~  
150                    ~~audit and certification of management systems – Part 6: Competence requirements~~  
151                    ~~for auditing and certification of business continuity management systems~~  
152   5.2.8 ~~ISO/IEC 27001: Information technology – Security techniques – Information security~~  
153                    ~~management systems – Requirements (ISMS)~~  
154                   • ~~ISO/IEC 27006, Information technology – Security techniques – Requirements for~~  
155                    ~~bodies providing audit and certification of information security management~~  
156                    ~~systems~~  
157   5.2.9 ~~ISO 13485: Medical devices – Quality management systems – Requirements for~~  
158                    ~~regulatory purposes (MDQMS)~~  
159                   • ~~No supplemental standards or guidelines~~  
160   5.2.10 ~~ISO 14065: Greenhouse gasses – Requirements for greenhouse gas validation and~~  
161                    ~~verification bodies for use in accreditation or other forms of recognition (GGVV)~~  
162   5.2.10.1 ~~ISO 14064-1, Greenhouse gases – Part 1: Specification with guidance at the~~  
163                    ~~organization level for quantification and reporting of greenhouse gas emissions and~~  
164                    ~~removals~~  
165   5.2.10.2 ~~ISO 14064-2, Greenhouse gases – Part 2: Specification with guidance at the~~  
166                    ~~project level for quantification, monitoring and reporting of greenhouse gas emission~~  
167                    ~~reductions or removal enhancements~~  
168   5.2.10.3 ~~ISO 14064-3, Greenhouse gases – Part 3: Specification with guidance for the~~  
169                    ~~validation and verification of greenhouse gas assertions~~

- 170 ~~5.2.10.4 ISO 14066, Greenhouse gases – Competence requirements for greenhouse gas~~  
171 ~~validation teams and verification teams~~  
172 ~~5.2.11 ISO 50001: Energy Management Systems – A practical guide for SMEs (EnMS)~~  
173 ~~• No supplemental standards or guidelines~~  
174 ~~5.2.12 ISO 37001: Anti-bribery management systems – Requirements with guidance for use~~  
175 ~~• ISO/IEC TS 17021-9, Conformity assessment – Requirements for bodies providing~~  
176 ~~audit and certification of management systems – Part 9: Competence requirements~~  
177 ~~for auditing and certification of anti-bribery management systems.~~  
178 ~~5.2.13 ISO 55001, Asset management – Management systems – Requirements~~  
179 ~~• ISO/IEC TS 17021-5, Conformity assessment – Requirements for bodies providing~~  
180 ~~audit and certification of management systems – Part 5: Competence requirements~~  
181 ~~for auditing and certification of asset management systems.~~  
182

## 183 6. LINKS TO ADDITIONAL REFERENCES

- 184 6.1. Food Safety System Certification (FSSC) – [www.fssc22000.com](http://www.fssc22000.com)  
185 6.2. International Accreditation Forum (IAF) – [www.iaf.nu](http://www.iaf.nu)  
186 6.3. International Organization for Standardization (ISO) – [www.iso.org](http://www.iso.org)  
187 ~~6.4.~~ Pacific Accreditation Cooperation (PAC) – [www.apec-pac.org](http://www.apec-pac.org)  
188 ~~6.4-6.5.~~ Asia Pacific Accreditation Cooperation (APAC) - TBD  
189

190 *These criteria were previously issued June 2013, February 2014, February 2015, ~~and~~ February 2016 and April 2017*  
191  
192

Annex A

<u>Program Status</u>	<u>IAS Abbreviation</u>	<u>Main Standard</u>	<u>Additional Accreditation Level Document(s)</u>	<u>Certification Standard(s)</u>
<b>Currently Active</b>	<u>QMS (Quality)</u>	<u>ISO/IEC 17021-1:2015</u>	<u>ISO/IEC 17021-3:2017</u>	<u>ISO 9001:2015</u>
	<u>EMS (Environmental)</u>	<u>ISO/IEC 17021-1:2015</u>	<u>ISO/IEC 17021-2:2016</u>	<u>ISO 14001:2015</u>
	<u>OHSAS (Occupational)</u>	<u>ISO/IEC 17021-1:2015</u>	<u>ISO/IEC TS 17021-10:2018</u>	<u>OHSAS 18001:2007</u> <u>ISO 45001:2017</u>
	<u>FSMS (Food Safety)</u>	<u>ISO/IEC 17021-1:2015</u>	<u>ISO/TS 22003:2013</u>	<u>ISO 22000:2005</u> <u>ISO 22000:2018</u>
	<u>FSSC (Food System)</u>	<u>ISO/IEC 17021-1:2015</u>	<u>ISO/TS 22003:2013</u>	<u>FSSC 22000 V.4.1</u>
	<u>ISMS (Information Security)</u>	<u>ISO/IEC 17021-1:2015</u>	<u>ISO/IEC 27006:2015</u>	<u>ISO/IEC 27001:2013</u>
	<u>ITSMS (Info. Tech. Service)</u>	<u>ISO/IEC 17021-1:2015</u>	<u>ISO/IEC 20000-6:2017</u>	<u>ISO/IEC 20000-1:2011</u>
	<u>BCMS (Business Continuity)</u>	<u>ISO/IEC 17021-1:2015</u>	<u>ISO/IEC TS 17021-6:2014</u>	<u>ISO 22301:2012</u>
	<u>MED-QMS (Medical Quality)</u>	<u>ISO/IEC 17021-1:2015</u>	<u>N/A</u>	<u>ISO 13485:2003</u> <u>ISO 13485:2016</u>
	<u>EnMS (Energy)</u>	<u>ISO/IEC 17021-1:2015</u>	<u>ISO 50003:2014</u>	<u>ISO 50001:2011</u>
	<u>ABMS (Anti-Bribery)</u>	<u>ISO/IEC 17021-1:2015</u>	<u>ISO/IEC TS 17021-9:2016</u>	<u>ISO 37001:2016</u>
	<u>GHG-VVB (Green House Gas)</u>	<u>ISO/IEC 17021-1:2015</u>	<u>ISO 14066:2011</u> <u>ISO 14064-1:2006</u> <u>ISO 14064-2:2006</u> <u>ISO 14064-3:2006</u> <u>N/A</u>	<u>ISO 14065:2013</u>
	<u>AMS (Asset Man.)</u>	<u>ISO/IEC 17021-1:2015</u>	<u>ISO/IEC TS 17021-5:2014</u>	<u>ISO 55001:2014</u>
<b>New/Pilot</b>	<u>LS-ET-SP (Learning Services)</u>	<u>ISO/IEC 17021-1:2015</u>	<u>N/A</u>	<u>ISO 29990:2010</u>
	<u>ESMS (Event Sustain.)</u>	<u>ISO/IEC 17021-1:2015</u>	<u>ISO/IEC TS 17021-4:2013</u>	<u>ISO 20121:2012</u>
	<u>RTSMS (Road Traffic)</u>	<u>ISO/IEC 17021-1:2015</u>	<u>ISO/IEC TS 17021-7:2014</u>	<u>ISO 39001:2012</u>
	<u>SDCMS (Sustain. Comm. Dev.)</u>	<u>ISO/IEC 17021-1:2015</u>	<u>ISO/IEC WD TS 17021-8 (Currently Under Development)</u>	<u>ISO 37101:2016</u>
	<u>FMMS (Facility Management)</u>	<u>ISO/IEC 17021-1:2015</u>	<u>ISO/IEC DTS 17021-11 (Currently Under Development)</u>	<u>ISO 41001:2018</u>

197 **Annex B**

198 **Glossary**

- 199
- 200
- 201 • **ISO 9001: Quality management systems — Requirements**
- 202 ○ ISO/IEC 17021-3: Conformity assessment — Requirements for bodies providing audit
- 203 and certification of management systems — Part 3: Competence requirements for
- 204 auditing and certification of quality management systems
- 205 • **ISO 14001: Environmental management systems — Requirements with guidance for use**
- 206 ○ ISO/IEC 17021-2: Conformity assessment — Requirements for bodies providing audit
- 207 and certification of management systems — Part 2: Competence requirements for
- 208 auditing and certification of environmental management systems
- 209 • **OHSAS 18001: Occupational health and safety management systems - Requirements**
- 210 • **ISO 45001: Occupational health and safety management systems — Requirements with**
- 211 **guidance for use**
- 212 ○ ISO/IEC TS 17021-10: Conformity assessment — Requirements for bodies providing
- 213 audit and certification of management systems — Part 10: Competence requirements for
- 214 auditing and certification of occupational health and safety management systems
- 215 • **ISO 22000: Food safety management systems — Requirements for any organization in the**
- 216 **food chain**
- 217 ○ ISO/TS 22003: Food safety management systems — Requirements for bodies providing
- 218 audit and certification of food safety management systems
- 219 • **FSSC 22000: Food safety management systems — Requirements for any organization in**
- 220 **the food chain (Food Safety System Certification Scheme 4.1)**
- 221 ○ ISO/TS 22003: Food safety management systems — Requirements for bodies providing
- 222 audit and certification of food safety management systems
- 223 • **ISO/IEC 27001: Information technology — Security techniques — Information security**
- 224 **management systems — Requirements**
- 225 ○ ISO/IEC 27006: Information technology — Security techniques — Requirements for
- 226 bodies providing audit and certification of information security management systems
- 227 • **ISO/IEC 20000-1: Information technology — Service management — Part 1: Service**
- 228 **management system requirements**
- 229 ○ ISO/IEC 20000-6: Information technology — Service management — Part 6:
- 230 Requirements for bodies providing audit and certification of service management systems
- 231 • **ISO 22301: Societal security — Business continuity management systems ---**
- 232 **Requirements**



- 233                   o ISO/IEC TS 17021-6: Conformity assessment — Requirements for bodies providing  
234                    audit and certification of management systems — Part 6: Competence requirements for  
235                    auditing and certification of business continuity management systems
- 236           • **ISO 13485: Medical devices — Quality management systems — Requirements for**  
237            regulatory purposes
- 238           • **ISO 50001: Energy management systems — Requirements with guidance for use**
- 239                   o ISO 50003: Energy management systems — Requirements for bodies providing audit  
240                    and certification of energy management systems
- 241           • **ISO 37001: Anti-bribery management systems — Requirements with guidance for use**
- 242                   o ISO/IEC TS 17021-9: Conformity assessment — Requirements for bodies providing  
243                    audit and certification of management systems — Part 9: Competence requirements for  
244                    auditing and certification of anti-bribery management systems
- 245           • **ISO 14065: Greenhouse gases — Requirements for greenhouse gas validation and**  
246            verification bodies for use in accreditation or other forms of recognition
- 247                   o ISO 14066: Greenhouse gases — Competence requirements for greenhouse gas  
248                    validation teams and verification teams
- 249                   o ISO 14064-1: Greenhouse gases — Part 1: Specification with guidance at the  
250                    organization level for quantification and reporting of greenhouse gas emissions and  
251                    removals
- 252                   o ISO 14064-2: Greenhouse gases — Part 2: Specification with guidance at the project  
253                    level for quantification, monitoring and reporting of greenhouse gas emission reductions  
254                    or removal enhancements
- 255                   o ISO 14064-3: Greenhouse gases — Part 3: Specification with guidance for the validation  
256                    and verification of greenhouse gas assertions
- 257           • **ISO 55001: Asset management — Management systems — Requirements**
- 258                   o ISO/IEC TS 17021-5: Conformity assessment — Requirements for bodies providing  
259                    audit and certification of management systems — Part 5: Competence requirements for  
260                    auditing and certification of asset management systems
- 261           • **ISO 29990: Learning services for non-formal education and training — Basic requirements**  
262            for service providers
- 263           • **ISO 20121: Event sustainability management systems — Requirements with guidance for**  
264            use
- 265                   o ISO/IEC TS 17021-4: Conformity assessment — Requirements for bodies providing  
266                    audit and certification of management systems — Part 4: Competence requirements for  
267                    auditing and certification of event sustainability management systems
- 268           • **ISO 39001: Road traffic safety (RTS) management systems - Requirements with guidance**  
269            for use



- 270                   o ISO/IEC TS 17021-7: Conformity assessment — Requirements for bodies providing  
271                   audit and certification of management systems — Part 7: Competence requirements for  
272                   auditing and certification of road traffic safety management systems
- 273           • ISO 37101: Sustainable development in communities — Management system for  
274           sustainable development — Requirements with guidance for use
- 275                   o ISO/IEC WD TS 17021-8 (currently under development): Conformity assessment --  
276                   Requirements for bodies providing audit and certification of management systems -- Part  
277                   8: Competence requirements for auditing and certification of management systems for  
278                   sustainable development in communities
- 279           • ISO 41001: Facility management — Management systems — Requirements with guidance  
280           for use
- 281                   o ISO/IEC DTS 17021-11 (currently under development): Requirements for bodies  
282                   providing audit and certification of management systems -- Part 11: Competence  
283                   requirements for auditing and certification of Facility Management Systems  
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## 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.