July 15, 2019

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

SUBJECT: Proposed Revisions to the Accreditation Criteria for Management Systems
Certification Bodies, Subject AC477-0919-0919-R1 (MS/PM)

Hearing Information:
IAS Accreditation Committee
Monday, September 16, 2019
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 proposed changes include (Please refer to copy of AC477 for specific information):

Clarifying language additions/replacements throughout the document.

Complete section additions, lines:
81-88 Required information when seeking a quote for accreditation
104-130 Required information for onsite assessment/
141-203 Required information/processes for witness assessments, scope expansion
        assessments, findings responses, unannounced visits, and standard
        transitions
214-215 Reference to APAC
226 Updates to Annex A for new/withdrawn standards
Complete removal of Annex B – Glossary as this information is already presented in Annex A.

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 August 28, 2019. 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 Patrick McCullen, accreditation officer, 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.

Yours very truly,

Raj Nathan
President

RN/nl

Enclosures

cc: Accreditation Committee
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

Official meeting records shall be kept 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 minutes 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 in 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:

<table>
<thead>
<tr>
<th>Type</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public Meeting</td>
<td>40 Days after posting of proposed criteria</td>
</tr>
<tr>
<td>Electronic Balloting Process</td>
<td>30 Days after posting of proposed criteria</td>
</tr>
</tbody>
</table>

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.
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.
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).

   1.2.2. ISO/IEC Standard 17021 series of standards as applicable.
   1.2.3. All IAF Mandatory Documents (MD).
   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).
   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 and Annex B (Glossary). 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: Certification bodies must provide the following when seeking a quote for accreditation. The following must be provided when seeking a quotation for accreditation:

4.1.1. IAS Pre-Application Form Desired Scope of Accreditation Form (Available under “Scope Document” within 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: Certification bodies must provide the following 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).

4.3.4. **Applicant/Accredited Management System Certification Bodies - Witnessing:**

Certification bodies must provide the following prior to IAS onsite assessment. The following must be provided prior to any witness assessment:

4.3.4.1. Schedule and information for witness audits to be conducted

4.3.4.2. Auditor documents (confidentiality/impartiality agreement, contract, competence evaluation)

4.3.4.3. Audit program (full certification cycle)

4.3.4.4. Audit plan (specific to each audit being witnessed)

4.3.5. 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.

4.3.7. Updated quality documentation and associated procedures

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)
   - Information regarding competence of personnel involved with the certification process (auditors, decision makers, application reviewers, personnel determining audit time, etc.)
   - At least one complete customer file (application received to certificate issued) demonstrating effectiveness of the certification process for the requested expansion.
   - Actions to address risks related to the scope expansion

4.5.2. Onsite Scope Expansion (Refer to IAF MD17)
   - Any code listed as critical must be witnessed prior to granting accreditation
   - 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
   - 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:
     - Prior written notice to IAS and the assessment team (at least two weeks)
     - 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
   - Root cause analysis should include:
     - 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
4.3.7.1.4.6.2.3. 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
4.3.8.4.7.3. 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
4.3.9.4.8.3. 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 and Annex B (Glossary). These publications refer to current editions (unless otherwise stated).

6. LINKS TO ADDITIONAL REFERENCES
6.2. International Accreditation Forum (IAF) – www.iaf.nu
6.4.6.5. Asia Pacific Accreditation Cooperation (APAC) - https://www.apac-accreditation.org/

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

<table>
<thead>
<tr>
<th>Program Status</th>
<th>IAS Abbreviation</th>
<th>Main Standard</th>
<th>Additional Accreditation Level Document(s)</th>
<th>Certification Standard(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>FSSC (Food System)</td>
<td>ISO/IEC 17021-1:2015</td>
<td>ISO/TS 22003:2013</td>
<td>FSSC 22000 V.4.1, FSSC 22000 V5.0</td>
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<tr>
<td></td>
<td>LS-ET-SP (Learning Services)</td>
<td>ISO/IEC 17021-1:2015</td>
<td>N/A</td>
<td>ISO 29990:2010</td>
</tr>
</tbody>
</table>
Annex B

Glossary

- ISO 9001: Quality management systems — Requirements
  - ISO/IEC 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

- ISO 14001: Environmental management systems — Requirements with guidance for use
  - ISO/IEC 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

- OHSAS 18001: Occupational health and safety management systems — Requirements

- ISO 45001: Occupational health and safety management systems — Requirements with guidance for use
  - ISO/IEC TS 17021-10: Conformity assessment — Requirements for bodies providing audit and certification of occupational health and safety management systems — Part 10: Competence requirements for auditing and certification of occupational health and safety management systems

- ISO 22000: Food safety management systems — Requirements for any organization in the food chain
  - ISO/TS 22003: Food safety management systems — Requirements for bodies providing audit and certification of food safety management systems

- FSSC 22000: Food safety management systems — Requirements for any organization in the food chain (Food Safety System Certification Scheme 4.1 5.0)
  - ISO/TS 22003: Food safety management systems — Requirements for bodies providing audit and certification of food safety management systems

- ISO/IEC 27001: Information technology — Security techniques — Information security management systems — Requirements
  - ISO/IEC 27006: Information technology — Security techniques — Requirements for bodies providing audit and certification of information security management systems

- ISO/IEC 20000-1: Information technology — Service management — Part 1: Service management system requirements
  - ISO/IEC 20000-6: Information technology — Service management — Part 6: Requirements for bodies providing audit and certification of service management systems

- ISO 22301: Societal security — Business continuity management systems — Requirements
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

• ISO 13485: Medical devices — Quality management systems — Requirements for regulatory purposes

• ISO 50001: Energy management systems — Requirements with guidance for use
  o ISO 50003: Energy management systems — Requirements for bodies providing audit and certification of energy management systems

• ISO 37001: Anti-bribery management systems — Requirements with guidance for use
  o ISO/IEC TS 17021-9: Conformity assessment — Requirements for bodies providing auditing and certification of anti-bribery management systems

• ISO 14065: Greenhouse gases — Requirements for greenhouse gas validation and verification bodies for use in accreditation or other forms of recognition
  o ISO 14066: Greenhouse gases — Competence requirements for greenhouse gas validation teams and verification teams
  o ISO 14064-1: Greenhouse gases — Part 1: Specification with guidance at the organization level for quantification and reporting of greenhouse gas emissions and removals
  o 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
  o ISO 14064-3: Greenhouse gases — Part 3: Specification with guidance for the validation and verification of greenhouse gas assertions

• ISO 55001: Asset management — Management systems — Requirements
  o ISO/IEC TS 17021-5: Conformity assessment — Requirements for bodies providing audit and certification of asset management systems

• ISO 29990: Learning services for non-formal education and training — Basic requirements for service providers

• ISO 20121: Event sustainability management systems — Requirements with guidance for use
  o ISO/IEC TS 17021-4: Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 4: Competence requirements for auditing and certification of event sustainability management systems

• ISO 39001: Road traffic safety (RTS) management systems — Requirements with guidance for use
ISO/IEC TS 17021-7: Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 7: Competence requirements for auditing and certification of road traffic safety management systems

ISO 37101: Sustainable development in communities — Management system for sustainable development — Requirements with guidance for use

ISO/IEC WD TS 17021-8 (currently under development): Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 8: Competence requirements for auditing and certification of management systems for sustainable development in communities

ISO 41001: Facility management — Management systems — Requirements with guidance for use

ISO/IEC DTS 17021-11 (currently under development): Requirements for bodies providing audit and certification of management systems — Part 11: Competence requirements for auditing and certification of Facility Management Systems