August 24, 2020

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

SUBJECT: Proposed Revisions to the Accreditation Criteria for Management System Certification Bodies (AC477)

Hearing Information:
IAS Accreditation Committee
Thursday, October 22, 2020
8:30 a.m. (Pacific Standard Time)
WebEx Meeting – Refer to IAS website for details.

Dear Madam or Sir:

IAS is proposing several changes to the Accreditation Criteria for Management System Certification Bodies, AC477. The changes are being requested to accommodate recent updates to the international standards and global requirements for the accreditation of management system certification bodies.

The changes proposed are summarized below:

1. Editorial changes are proposed to items 2.5, 4.2.3, 4.2.4, 4.3.1.7, 4.3.1.8, 4.4, 4.4.5 Note 1 and 4.7. The purpose of these proposed changes is to improve clarity in the document.

2. Addition of Remote Assessments and Virtual Site definitions is now referenced under item 2.7 and 2.8.

3. Due to the extensive use of remote assessments due the Covid-19 situation, this statement has been included in section 3.1.5 to ensure that after circumstances return back to normal then remote assessments will be exercised only when required and approved by IAS, otherwise it will be onsite assessments.

4. A statement that all documents must be submitted in English to IAS under section 3.3.

5. A new Annex B has been included to illustrate the IAS Accreditation cycle for MSCB since different accreditation bodies have different cycles as allowed under ISO/IEC 17011:2017 standard.

6. All MSCB enquiries and applications are through the portal, so a statement to inform applicants that these procedures are available in the Rules of Procedure for MSCBs under section 4.1.1
7. The information to be submitted for remote and onsite assessments are similar with the exception of requiring Information and Communication Technology (ICT) tools for remote. Sections 4.3.1 and 4.3.2 have been merged to address this.

8. More information has been included in section 4.4.5 to cover witnessing requirements under Stage 1 and Stage 2 and a Note 2 to highlight that these requirements are found in applicable IAF Mandatory Documents (MD).

9. Sub sections previously under 4.5 has been merged for remote and onsite assessments as the witnessing requirements are dependent on the IAF MD requirements.

10. A new section 5 has been added to inform all MSCBs and their certified clients must comply with the new IAF CERTSEARCH requirements and on the use of the IAF CERTSEARCH Mark.

11. Annex A has been updated due to the many transitions that have taken place with both accreditation and certification standards.

You are cordially invited to submit written comments, or to attend the WebEx committee hearing and present verbal comments. Written comments will be forwarded to the committee, prior to the hearing, if received by September 22, 2020. For your convenience, a comment form is provided. The link can be 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 the Rules of Procedure for Accreditation Committee Meetings found on the IAS website. Since this is a web meeting, comments for public distribution will be placed on the IAS website prior to the meeting.

Your cooperation is requested in forwarding to IAS, 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 IAS at 562-364-8201 ext. 3309. You may also reach us by e-mail at iasinfo@iasonline.org.

Yours very truly,

[Signature]
Raj Nathan
President

RN/ms

cc: Accreditation Committee
ACCREDITATION CRITERIA FOR MANAGEMENT SYSTEM CERTIFICATION BODIES

AC477

October 2020
September 2019
(Effective November 1, 2020)

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).
   1.2.2. 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 applicant or accredited by IAS
2.6. **Witness Audits**: Certification audits that are observed by an IAS assessor
2.7 **Remote Assessments**: Accreditation Body's assessment of the physical location or virtual site of a CAB office or CAB's client, using electronic means
2.8 **Virtual site**: An online environment allowing persons to execute processes, e.g. in a cloud environment.

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.

3.1.4.3.1.5. All office and witness assessments will be conducted onsite unless agreed by IAS for remote or virtual assessments.

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

3.3. All documents submitted to IAS must be in English.

3.2.3.4. The IAS Accreditation cycle for MSCB is 4 years. Refer to Annex B

4. REQUIRED BASIC INFORMATION – Initial Accreditation

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

4.1.1. Formal Application is through the IAS Portal

4.1.1.4.1.2. IAS Desired Scope of Accreditation Form. (Template available in the IAS portal, document titled "IAS-MSCB-Accreditation -- Desired Scope of Accreditation"

4.1.2. Formal Application through IAS Portal

4.1.3. Information regarding current or past accreditation status, including, but not limited to:

4.1.3.1. Any negative findings that are currently unresolved according to accreditation body procedures

4.1.3.2. Any outstanding payment to an IAF member accreditation body

4.1.3.3. Any sanctions that have been brought against the CAB within the past five years and the reasons for those sanctions.

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

4.2.1. IAS online application form and associated fee

4.2.2. Proposed scope request (Desired Scope of Accreditation Form. Template available in the IAS portal, document titled "IAS-MSCB-Accreditation -- Desired Scope of Accreditation"

4.2.3. Quality documentation and associated procedures. (ReferSee clause 10 of ISO/IEC 17021-1:2015)
4.2.4. List of all auditors, relevant personnel and decision makers, including information on the IAF codes, categories or technical areas for which listed individuals have demonstrated competence (refer to clause 7.2 of ISO/IEC 17021-1:2015 and IAF MD10)

4.2.4.4.2.5. List of all certified customers

4.2.5.4.2.6. List of entities operating on behalf of the certification body (this includes branch offices, franchisees, subcontractors, etc.) (See IAF MD23)

4.2.6.4.2.7. List of countries in which certifications have been issued (See IAF MD23 and IAF MD12)

4.3. **Applicant/Accredited Management Systems Certification Bodies – Onsite/Remote 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. This is applicable only when remote assessment is approved by IAS.

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.

   Internal Audit/Management Review input/output evidence

4.3.2.2. Information on complaints and appeals received within the last two (2) years

4.3.2.3.4.3.1.7. 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 CBCAB

4.3.2.4.4.3.1.8. Evidence demonstrating the CBCAB’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 CBCABs (IAF MD23 clause 1.1) and the specific risks associated with markets served (ISO/IEC 17021-1:2015 clause 9.1.4.2 g).
4.4. Applicant/Accredited Management System Certification Bodies - Witnessing: The following must be provided prior to any witness assessment (where applicable, the requirements apply for both onsite and remote witnessing):

4.4.1. Schedule and information for witness audits to be conducted
4.4.2. Auditor documents (confidentiality/impartiality agreement, contract, competence evaluation)
4.4.3. Audit program (full certification cycle)
4.4.4. Audit plan (specific to each audit being witnessed)

4.4.5. For initial accreditation, IAS requires both stage 1 and stage 2 witness audits to be witnessed. This applies for each sub scope (QMS, EnMS, ITMS etc.) requested by the CAB during the application stage. Stage 1 results (if applicable)

4.4.6. Logistical arrangements (e.g., travel, accommodation) for assessment team

Note 1: For witness audits, the number of auditors should not be more than double the number of assessors (2 auditors: 1 assessor) as this prevents an adequate assessment of CAB’s competence. Where this is not possible if no other choice, CBCABs must seek permission from IAS head office to exceed this ratio.

Note 2: For discipline-specific witnessing requirements, please refer to relevant applicable IAF sub scope Mandatory Documents.

4.5. Accredited Management System Certification Bodies – Scope Expansion (Onsite/Remote): The following must be provided prior to any scope expansion assessment:

4.5.1. Desk/Remote Scope Expansion (when possible)

4.5.1.1. Information regarding competence of personnel involved with the certification process (auditors, decision makers, application reviewers, personnel determining audit time, etc.)

4.5.1.2. At least one complete customer file (application received to certificate issued) demonstrating effectiveness of the certification process for the requested expansion.

4.5.1.3. Actions to address risks related to the scope expansion

4.5.2. Onsite Scope Expansion (Refer to IAF-MD17)

4.5.2.1. Any Critical Code or Discipline that required witnessing by the relevant ISO standard or IAF MD, these code listed as critical must be witnessed prior to granting accreditation

4.5.2.2. The full scope of a certification body must be witnessed within the first accreditation cycle. After the initial cycle, IAS reserves the right to reduce the witnessing requirements so that full scope is witnessed within the next two cycles, when appropriate
4.5.2.3.1.1.1. For discipline specific witnessing requirements, please refer to the applicable IAF Mandatory Document.

4.5.3. Scope Expansion during normal Surveillance/Reassessment

All of the above required information under 4.5.2 and:

4.5.3.1. Prior written notice to IAS and the assessment team (at least two weeks)

4.5.3.2. Any scope expansion requested while the assessment team is present may only be conducted with authorization from the IAS head office

Note: For discipline-specific witnessing requirements, please refer to relevant IAF sub scope Mandatory Documents. For discipline-specific witnessing requirements, please refer to the applicable IAF Mandatory Document.

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

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

All finding responses must include effective Root Cause Analysis

4.6.1. Root cause analysis should include:

4.6.1.1. Identification of the root issue

4.6.1.2. Evaluation of additional impacts

4.6.1.3. Actions taken to address the immediate impacts

4.6.1.4. Actions taken to address ongoing impacts

4.6.1.5. Plan for verification of effectiveness of actions taken

4.6.1.6. Timeframe for completion of actions

4.6.2. All findings responses must include objective evidence (where applicable); objective evidence must be:

4.6.2.1. Submitted in English

4.6.2.2. Appropriately identified and organized

4.6.2.3. Accompanied by a narrative describing the complete corrective action process for the specific finding

4.7. Accredited Management Systems Certification Bodies – Unannounced Visits: The following requirements must be observed by both CBCABs and their certified customers:

4.7.1. Should IAS assessors arrive to either CBCAB 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 CBCAB
4.7.3. Have demonstrable evidence of the certification process (e.g., Management Review, closure of findings, corrective action)

4.8. Accredited Management Systems Certification Bodies – Standard Transitions: The following is required when transitioning to new standard editions:

4.8.1. At least one witness assessment (at IAS discretion)
4.8.2. Competent personnel conducting all parts of the certification process
4.8.3. Prior notice (at least two weeks before assessment) of intention to transition

5. ADDITIONAL INFORMATION (AS APPLICABLE)

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

5.2. Additional standards and guidelines will be used when performing assessments of the respective certification disciplines as listed in the Annex A. These publications refer to current editions (unless otherwise stated).

5.3. All accredited, applicant CABs and their certified clients must comply and shall be included in the IAF CERTSEARCH database including meeting the requirements stated in the IAS Rules of Procedure (MSCB) on the use of the IAF CERTSEARCH Mark. This applies to:

a) MSCBs accredited by IAS, and;

b) Entities certified by IAS accredited MSCBs.

6. LINKS TO ADDITIONAL REFERENCES

6.2. International Accreditation Forum (IAF) – www.iaf.nu
6.4.5. Asia Pacific Accreditation Cooperation (APAC) - https://www.apac-accreditation.org/
6.5. IAF CertSearch - https://www.iafcertsearch.org

These criteria were previously issued June 2013, February 2014, February 2015, February 2016, April 2017, and September 2018 and September 2019.
## 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>New/Pilot</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>
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### Annex B: Informational Purposes only
IAS Enquiry and Application process through the IAS Portal

<table>
<thead>
<tr>
<th>IAS Abbreviation</th>
<th>Main Standard</th>
<th>Additional Accreditation Level Document(s)</th>
<th>IAF MDs, External Requirements</th>
<th>Certification Standard(s)</th>
</tr>
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<tbody>
<tr>
<td>OHSAS (Occupational)</td>
<td>ISO/IEC 17021-1:2015</td>
<td>ISO/IEC 17021-10:2018</td>
<td>IAF MD 1, 2, 4, 5, 11, 12, 17, 22, 23</td>
<td>ISO 45001:2018</td>
</tr>
<tr>
<td>FSMS (Food Safety)</td>
<td>ISO/IEC 17021-1:2015</td>
<td>ISO/TS 22003:2013</td>
<td>IAF MD 1, 2, 4, 11, 12, 16, 23</td>
<td>ISO 22000:2018</td>
</tr>
<tr>
<td>FSSC (Food System)</td>
<td>ISO/IEC 17021-1:2015</td>
<td>ISO/TS 22003:2013</td>
<td>IAF MD 1, 2, 4, 11, 12, 16, 23</td>
<td>FSSC 22000 V5.0</td>
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<td>MED-QMS (Medical Quality)</td>
<td>ISO/IEC 17021-1:2015</td>
<td>N/A</td>
<td>IAF MD 1, 2, 4, 8, 9, 11, 12, 23</td>
<td>ISO 13485:2016</td>
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<tr>
<td>EnMS (Energy)</td>
<td>ISO/IEC 17021-1:2015</td>
<td>ISO 50003:2014</td>
<td>IAF MD 1, 2, 4, 11, 12, 23</td>
<td>ISO 50001:2018</td>
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<tr>
<td>GHG-VVB (Green House Gas)</td>
<td>ISO/IEC 17021-1:2015</td>
<td>ISO 14066:2011, ISO 14064-1:2018</td>
<td>IAF MD 1, 2, 4, 6, 11, 12, 14, 23</td>
<td>ISO 14065:2013</td>
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Disclaimer:

1. Where IAF requirements referenced in the above table are in transition, browse the IAF Website Publications page for latest versions of the IAF Mandatory Documents (MDs).
2. All standards listed above for the relevant sub scopes are considered current at the time of this publication, please consult the International Organization for
Annex B: IAS ACCREDITATION CYCLE for Office Assessment

1\textsuperscript{st} Cycle

<table>
<thead>
<tr>
<th>Example of MSCB Assessment Schedule *</th>
<th>Initial Accreditation Decision date to next Surveillance Assessment 1 date (12 months apart)</th>
<th>Surveillance 1 Assessment Date to Surveillance 2 Assessment Date (12 months apart)</th>
<th>Surveillance 2 Assessment Date to Surveillance 3 Assessment date (12 months apart)</th>
<th>Surveillance 3 assessment date to Reassessment 1 date (12 months apart)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>June 1, 2019 to June 1, 2020</td>
<td>June 1, 2020 to June 1, 2021</td>
<td>June 1, 2021 to June 1, 2022</td>
<td>June 1, 2022 to June 1, 2023</td>
</tr>
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2\textsuperscript{nd} Cycle

<table>
<thead>
<tr>
<th>Example of MSCB Assessment Schedule*</th>
<th>Reassessment 1 date to next Surveillance Assessment 1 date (12 months apart)</th>
<th>Surveillance 1 Assessment Date to Surveillance 2 Assessment Date (12 months apart)</th>
<th>Surveillance 2 Assessment Date to Surveillance 3 Assessment Date (12 months apart)</th>
<th>Surveillance 3 assessment date to Reassessment 2 date (12 months apart)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>June 1, 2023 to June 1, 2024</td>
<td>June 1, 2024 to June 1, 2025</td>
<td>June 1, 2025 to June 1, 2026</td>
<td>June 1, 2026 to June 1, 2027</td>
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* Depending on the relevant IAF MDs’ witness requirements for specific sub scopes, some MSCBs shall be visited on an annual basis.