




INTERNATIONAL ACCREDITATION SERVICE®


IAF MD 23: 2018 - Control of Entities Operating on Behalf of Accredited Management Systems Certification Bodies

Scope



- This MD relates to entities, performing and/or managing management system certification activities, on behalf of certification bodies (CBs) holding accreditation, which are not wholly or partly owned or employed by the CB.
- The entities may or may not be located in the same country as the CB head office and may be a representative, agency, franchisee or sales office of the CB or any entity which has a contractual relationship with the CB for performing certification activities.


Requirements



OBLIGATIONS OF CERTIFICATION BODIES :
Risk Assessment of Candidate Entities :

- CB shall analyze the risks arising from the activities of the entity.
- If the unacceptable risk that is not manageable, the CB shall not proceed with the agreement.
- The risks shall be considered with regard to impartiality, competence, consistency, independence, and levels of local risk to certification business in the country where the CB is planning for the entity to operate.


Requirements



Establishment of the Legally Enforceable Agreement :
The legally enforceable agreement with the candidate entity to include but not limited to:


- i) That the candidate entity shall conform to the applicable requirements including legal status, impartiality, competence requirements, process requirements and with the CB's management system, to the extent that the candidate entity is involved in the delivery of certification services.
- The candidate entity shall operate within the CB's management system and/or under its own accreditation;
- As needed, based on the risk assessment, additional controls shall be defined and implemented;
- ii) The entity is subject to on-site internal audit by the CB on an ongoing basis. The audits shall include all activities performed by the entity on behalf of the CB. The audit frequency shall depend on the risk assessment and the results of previous audits;

Requirements



- iii) Mandatory annual reporting on key performance indicators (KPIs), including those specified in *IAF MD 15*
- iv) Provision of access to control and monitoring by the CB's Accreditation Body (AB) as deemed necessary;
- v) Details of the activities to be provided by the entity;
- vi) Responsibilities, authority and liability of each party;
- vii) Provision of resources, training, continuous professional development;
- viii) Intellectual property and protection;
- ix) Before outsourcing any activities it performs on behalf of the CB, the entity shall obtain the agreement of the CB.


Requirements



Compliance of Entities' Operations with the Applicable Requirements and the CB Management System and Governance Documents :

- The requirement to conform to the applicable accreditation requirements is extended to the entity, in relation to the services it performs on behalf of the CB.
- CBs shall monitor the ongoing performance of the entity, including on-site internal audits (including witnessing audits) of the entities


Requirements



OBLIGATIONS OF ACCREDITATION BODIES :
AB Monitoring of Entities :


- When an AB is notified that such an entity is to be used by a CB, the AB shall share this information with local AB(s) and may seek their inputs.
- Local ABs shall identify, when it comes to their attention, entities, accredited by foreign ABs, operating in the local market and communicate this information to the foreign AB.
- The CB's AB shall decide on an assessment program of its entities in accordance with the requirements of ISO/IEC 17011, IAF MD 12 and shall inform the local AB if applicable.
- The CB's AB shall inform the local AB of cases of termination of the agreement between the CB and the entity for fraudulent or unethical behavior.

Requirements



- ABs shall determine the frequency of assessment for each CB and its entities in an accreditation cycle.
- **The CB's AB may initiate visits to entities to investigate specific situations triggered by adverse trends) or market feedback, such as:**
 - A sudden change in the number of certificates issued by the CB;
 - The entity raises few or no nonconformities during a long period of time, for example over a certification cycle, if the entity is performing audits;
 - Situations that call into question the credibility of accredited certification;
 - Complaints from customers of certified organizations or other interested parties indicating concerns about the effectiveness of an entity's certification process;
 - Negative publicity; i.e. issues raised by media organizations regarding a particular product, organization or entity, with relation to specific technical areas; problems identified through social networking sites; specific negative feedback from NGOs regarding the performance of accredited certification;
 - Intervention from regulators, or negative feedback from regulators;

Requirements



- The raising of systemic issues and concerns by the entity during witnessed assessment by the AB for a client when no such findings were recorded in earlier audits of the same client, especially by the same auditor/team.
- Evidence that regulatory requirements, especially in regulation-sensitive management systems such as FSMS, EMS or OHSMS, are not adequately audited, particularly if there is a direct impact on people's health or safety.

Thank you!



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