August 10, 2022

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

SUBJECT: Proposed Revisions to Accreditation Criteria for Accreditations of Management Systems Certification Bodies, AC477-202210 (KE/MS)

Hearing Information:
IAS Accreditation Committee
Thursday, October 6, 2022
8:00 am (Pacific Standard Time)
WebEx Meeting – Refer to IAS website for details.

Dear Madam or Sir:

IAS is proposing revisions to its Accreditation Criteria for Accreditation of Management System Certification Bodies, AC477. A description of the proposed change is detailed below:

Line 286 – Annex A – Informational Purposes Only table – Deletion of row detailing GHG VVB (Green House Gas) option.

Rationale for change – The GHG VVB (Green House Gas) program is now a stand-alone accreditation program. Readers are referred to IAS Accreditation Criteria AC800 Accreditation Criteria for Validation and Verification Bodies (VVBs) for additional information. To avoid confusing the market, IAS staff recommends deletion of this program from the IAS accreditation criteria for management system certification bodies (AC477).

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 6, 2022. 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

Enclosures: Proposed AC477

cc: Accreditation Committee
PROPOSED REVISIONS TO THE ACCREDITATION CRITERIA FOR MANAGEMENT
SYSTEM CERTIFICATION BODIES

AC477

Proposed October 6, 2022
Effective XXXXX 1, 2022

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.

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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 (MSCB) 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 also referred to as ‘Customer’

2.6. MSCB Certified client: Certified client of MSCB also referred to as ‘Client’

2.7. **Witness Audits**: Certification audits that are observed by an IAS assessor

2.8. **Remote Assessments**: Accreditation Body’s assessment of the physical location or virtual site of a CAB office or CAB’s client, using electronic means

2.9. **Virtual site**: An online environment allowing persons to execute processes, e.g. in a cloud environment.
2.10 **MSCB main office location:** The main office is listed on the IAS Certificate of Accreditation where activities are conducted and/or information maintained regarding the performance and management of all processes related to all management system activities (refer to 2.15).

2.11 **MSCB key location:** Entities performing and/or managing key management system certification activities, on behalf of accredited certification bodies, **which are** wholly or partly owned or employed by the MSCB (refer to 2.15).

2.12 **Subcontractor key location:** Entities performing and/or managing key management system certification activities, on behalf of accredited certification bodies, **which are NOT** wholly or partly owned or employed by the MSCB.

2.13 **Subcontractor (No key activities):** Entities performing and/or managing processes related to management system activities, on behalf of accredited certification bodies, **which are NOT** wholly or partly owned or employed by the MSCB (processes include; marketing, communications, outreach, etc.).

2.14 **Entity/Entities:** Collective term used in this document to describe any/all of the above four location types.

2.15 **Key Management System Certification Activities:** Policy formulation; Process and/or procedure development; Initial approval of auditing personnel, or control of their training; Ongoing monitoring of auditing personnel; Application review; Assignment of auditing personnel; Control of surveillance or recertification audits; Final report review or certification decision or approval.

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 a minimum of one certified customers in each sub scope in the requested scope of accreditation

3.1.2. Have completed at least one Internal Audit and one Management Review of the MSCB main and key locations.

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.
3.1.5. All office and witness assessments are conducted onsite unless agreed by IAS for remote or virtual assessments or mandated by IAF under special circumstances.

3.2. Accreditation services are available for all third-party MSCBs 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.

3.4. The MSCB, or any part of the same legal entity or any entity under the organizational control of the MSCB cannot offer or provide management system consultancy.

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

4. REQUIRED BASIC INFORMATION

4.1. MSCBs must demonstrate compliance with the following requirements:

4.1.1. ISO/IEC Standard 17021 series of standards as applicable.

4.1.2. All IAF Mandatory Documents (MD).

4.1.3. IAF Resolutions related to accreditation bodies and transitions as available on the IAF website.

4.1.4. All IAF Informative Documents (ID).

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

4.2. Relevant IAS policy documents

4.2.1. IAS Policy – Certification Bodies (CBs) maintaining CB Key Locations, Subcontractor Key Locations, Subcontractors, and CB Locations

4.2.2. Policy on the Transfer of Accreditation by MSCBs’

4.2.3. Policy on the Restricted Use of IAS Endorsement by Accredited Organizations

4.2.4. Policy on the use of the ILAC/IAF/IAS Combined Marks

4.2.5. Food Safety Systems Certification (FSSC) V.5 Transition Policy

4.2.6. Accreditation policy for Aerospace Quality Management System Certification Bodies

5. ADDITIONAL INFORMATION (AS APPLICABLE)

5.1. All requested scopes must be in the format used in the IAS MSCB desired scope of accreditation 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 MSCBs and their certified clients must comply and 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:

5.3.1. MSCBs accredited by IAS;
5.3.2. Entities certified by IAS accredited MSCBs.
5.3.3. MSCBs must disclose all certified clients issued with the IAS symbol in the IAF CertSearch database. Non-disclosure will result in suspension and/or cancellation of the MSCB accreditation.
5.3.4. Encourage MSCB clients to use the IAF CertSearch logo on the client websites.

5.4. For Aerospace Quality Management System Certification Body accreditations, refer to the policy listed on section 4.2.6 for all stages of application to final accreditation.

5.5. Accredited Management Systems Certification Bodies – Unannounced Visits: The following requirements must be observed by both MSCBs and their certified clients:

5.5.1. When IAS assessors arrive unannounced at either MSCB location or MSCB certified clients’ site, they must be permitted access to the facility, management system documentation and all associated records. Please note that MSCBs have signed the application for accreditation with IAS which requires compliance to the AC477, Rules of Procedure for MSCBs and any published IAS policies and requirements.
5.5.2. The MSCB certified client must have a readily available copy of the last audit report issued by the MSCB
5.5.3. Have demonstrable evidence of the certification process (e.g., Management Review, internal audits, audit report, closure of findings, corrective action etc.).
5.5.4. IAS will only accept certified client’s audit report provided directly by the MSCBs.

5.6. Accredited Management Systems Certification Bodies – Transitions to IAS requirements, international standards or IAF MDs: The following is required when transitioning:

5.6.1. A transition plan to be provided by the MSCB to IAS
5.6.2. Qualified and experienced personnel
5.6.3. Audit records if any, relating to the transition or a witness assessment as needed

5.7. Applicant Management System Certification Body – Initial Accreditation: The following must be provided when seeking a quotation for accreditation:

5.7.1. Formal Application is through the IAS Portal
5.7.2. IAS Desired Scope of Accreditation Form. Template available in the IAS portal, document titled "IAS-MSCB-Accreditation -- Desired Scope of Accreditation (Available under “Scope Document” within portal)

5.7.3. Information regarding current or past accreditation status, including, but not limited to:
5.7.3.1. Any negative findings that are currently unresolved according to accreditation body procedures
5.7.3.2. Any outstanding payment to an IAF member accreditation body
5.7.3.3. Any sanctions that have been brought against the CAB within the past five years and the reasons for those sanctions.
5.7.3.4. Please note section 2.10 with regard to main office location

5.8. **Applicant Management System Certification Body – Initial Assessment**: The following must be provided prior to IAS scheduling of an initial assessment:
5.8.1. IAS online application form and associated fee
5.8.2. Proposed scope request (Desired Scope of Accreditation Form. Template available in the IAS portal, document titled "IAS-MSCB-Accreditation -- Desired Scope of Accreditation")
5.8.3. Quality documentation and associated procedures (refer clause 10 of ISO/IEC 17021-1:2015)
5.8.4. 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)
5.8.5. List of all MSCB certified clients with names, addresses, client technical contacts and email addresses and scope of certifications issued.
5.8.6. List of entities operating on behalf of the MSCB as defined under 2.10-2.15 for performing certification activities..) (See IAF MD23)
5.8.7. List of countries in which certifications have been issued (See IAF MD23 and IAF MD12). Please note that may prohibit issuance of certificates under IAS accreditation in those countries that are identified under sanctions by the US State Department on their website.

5.9. **Applicant/Accredited Management Systems Certification Bodies – Onsite/Remote Assessment**: The following must be provided prior to any office assessment:
5.9.1. Office Assessment
5.9.1.1. Arrangements for video/remote conferencing. This is applicable only when remote assessment is approved by IAS.
5.9.1.2. Copy of latest quality documentation and supporting procedures, forms, work
instructions, etc.

5.9.1.3. Internal Audit/Management Review input/output evidence

5.9.1.4. Information on complaints and appeals received within the last four (4) years

5.9.1.5. Any internal corrective actions and the evidence supporting their closure and
verification

5.9.1.6. Certified customer files as requested by the assessment team

5.9.1.7. List of entities operating on behalf of the MSCB as defined under 2.10-2.15 for
performing certification activities. (See IAF MD23)

5.9.1.8. Evidence demonstrating the CAB’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 CABs
(IAF MD23 clause 1.1) and the specific risks associated with markets served (ISO/IEC
17021-1:2015 clause 9.1.4.2 g).

5.10. 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):

5.10.1. Schedule and information for witness audits to be conducted

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

5.10.3. Audit program (full certification cycle)

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

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

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

5.11.1. Remote Scope Expansion (when possible)

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

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

5.11.1.3. Actions to address risks related to the scope expansion

5.11.2. Onsite Scope Expansion

5.11.2.1. Any Critical Code or Discipline that requires witnessing by the relevant ISO standard or IAF MD, these must be witnessed prior to granting accreditation

5.11.2.2. 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

5.11.3. Scope Expansion during normal Surveillance/Reassessment

All of the above required information under 4.5.2 and:

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

5.11.3.2. 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.

5.12. **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

5.12.1. Root cause analysis should include:

5.12.1.1. Identification of the root issue

5.12.1.2. Evaluation of additional impacts

5.12.1.3. Actions taken to address the immediate impacts

5.12.1.4. Actions taken to address ongoing impacts

5.12.1.5. Plan for verification of effectiveness of actions taken

5.12.1.6. Timeframe for completion of actions

5.12.2. All findings responses must include objective evidence (where applicable); objective evidence must be:
5.12.2.1. Submitted in English
5.12.2.2. Appropriately identified and organized
5.12.2.3. Accompanied by a narrative describing the complete corrective action process for the specific finding

6. LINKS TO ADDITIONAL REFERENCES

6.2. International Accreditation Forum (IAF) – www.iaf.nu
6.4. 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, September 2018, September 2019, and December 1, 2020 and July 14, 2021.
Annex A: Informational Purposes only.

<table>
<thead>
<tr>
<th>IAS Abbreviation</th>
<th>Main Scope (Standard)</th>
<th>Additional Accreditation Document(s)</th>
<th>IAF MDs, External Requirements</th>
<th>Certification Standard(s)</th>
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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>
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<td>FSMS (Food Safety)</td>
<td>ISO/IEC 17021-1:2015</td>
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<td>IAF MD 1, 2, 4, 11, 12, 16, 23</td>
<td>ISO 22000:2018</td>
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<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>
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<td>IAF MD 1, 2, 4, 8, 9, 11, 12, 23</td>
<td>ISO 13485:2016</td>
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<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>
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<td>GHG-VVB (Green House Gas)</td>
<td>ISO/IEC 17021-1:2015</td>
<td>ISO-14064-2011, ISO-14064-1:2018</td>
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<td>Certification Standard(s)</td>
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<td>IAF Sub scope Level 4</td>
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<td>FMMS (Facility Management)</td>
<td>ISO/IEC 17021-1:2015</td>
<td>ISO/IEC DTS 17021-11:2018</td>
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<td>EOMS (Educational Organizations)</td>
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<td>CMS (Compliance Management Systems) (IN DRAFT INTERNATIONAL STANDARD PHASE)</td>
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<td>IAF MD 1, 2, 4, 5 11, 17, 23 and IAF ID 1</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 Standardization (ISO) or the specific Standards Development Organization.
Annex B: IAS ACCREDITATION CYCLE for Office Assessment

<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>
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<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>
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<td>June 1, 2025 to June 1, 2026</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.