

UNITED ACCREDITATION FOUNDATION



Document Name	ACCREDITATION REQUIREMENTS FOR CERTIFICATION OF ENVIRONMENTAL MANAGEMENT SYSTEM (EMS)
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1. ACCREDITATION REQUIREMENTS

ISO/IEC 17021-1 Conformity assessment — Requirements for bodies providing audit and certification of management systems.

2. ADDITIONAL DOCUMENTS

ISO/IEC, IAF and other applicable requirements applicable for accreditation of ISO 14001 certification:

- ISO/IEC 17021-2 Requirements for bodies providing audit and certification of management systems. Part 2: Competence requirements for auditing and certification of Environmental Management Systems
- IAF MD 1: IAF Mandatory Document for the Audit and Certification of a Management System Operated by a Multi-Site Organization
- IAF MD 2: IAF Mandatory Document for the Transfer of Accredited Certification of Management Systems.
- IAF MD 4: IAF Mandatory Document for the Use of Information and Communication Technology (ICT) for Auditing/Assessment Purposes
- IAF MD 5: Determination of Audit Time of Quality, Environmental, and Occupational Health & Safety Management Systems.
- IAF MD 11: IAF Mandatory Document for Application of ISO/IEC 17021 for Audits of Integrated Management Systems (IMS)
- IAF MD 23: Control of Entities Operating on Behalf of Accredited Management Systems Certification Bodies
- IAF MD 28: IAF Mandatory Document for the Upload and Maintenance of Data on IAF Database (Application date October 26, 2024)

3. UAF DOCUMENTS APPLICABLE FOR ACCREDITATION OF ISO 14001 CERTIFICATION

- UAF-GEN-CAB-01-General Accreditation requirements
- UAF-GEN-CAB-02-Conditions for the use of UAF Symbol
- UAF-PL:2014-01: Policy on providing conformity assessment in countries without the country's relevant authority's approval.
- UAF F-31A-Annexure A- Guidance for the addition of countries, locations and critical Locations.
- UAF-PL:2016-06: UAF Policy for the Collection of Data to Provide Indicators of Management System Certification Bodies' Performance as per IAF MD 15:2014.
- UAF-PL:2018-04: UAF Policy on handling misconduct & unethical practices in the certification process

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- UAF-PL:2019-07-01: UAF Policy on accreditation scopes & witnessing activities for accreditation of management system CBs
- UAF-PL:2019-07-02: UAF Policy regarding general administration
- UAF-PL:2020-03-02: UAF Policy for handling extraordinary events or circumstances affecting UAF Accredited CABs on their certified clients/persons.
- UAF-PL:2020-03-03: UAF Policy on Remote Assessment
- UAF-PL:2023-09-01: UAF Policy for CAB operations in Sanctioned Countries
- UAF-PL:2024-02-01: UAF policy regarding the consideration of climate change within the organizational context of the management system

4. CERTIFICATION DOCUMENTS

Certification Bodies (CAB) certifying against ISO 14001 – Environmental management systems – Requirements with guidance for use

5. SCOPE OF ACCREDITATION

The scope of accreditation is defined based on listing 39 IAF groups/codes divided into 13 technical clusters as detailed in the table at serial number 13 of this document. UAF may further restrict scope to specific NACE code/IAF Group Code within a technical cluster mentioned in table 13 in case:

- The CB requests so.
- The assessment in the opinion of UAF, does not allow granting accreditation for a complete cluster. This could be the case when the cluster represents a large diversity of technical subareas, and CB did not demonstrate competence in more than a specific sub-area, or the cluster includes a sub-area that requires specific critical competence that could not be demonstrated by the CB.

6. ACCREDITATION ASSESSMENTS

The extent and content of the assessment depends upon the requested scope of accreditation, the other activities for which the body requests accreditation or is already accredited and the body's performance during the previous assessments.

7. ASSESSMENTS

- Document Review
- Office Assessments
- Witness Assessments

8. INITIAL ASSESSMENTS

An application for initial accreditation or extension of scope should at least include each of the following:

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- An analysis of environmental aspects and associated impacts for each of the technical areas identified and requested for accreditation.
- A definition of the competency required related to the identified environmental aspects.

8.1 During the initial assessment, the policies and the procedures implemented by the body are assessed at their office(s).

8.2 During the initial office assessments, the team makes specimen files of certification staff for every activity to screen the service for the scope of accreditation. At least one certification personnel for each certification function for each IAF code/group and one auditor per IAF code/group requested shall be reviewed completely for award of accreditation of scopes subjected to witness completion in that particular IAF cluster as per the requirements of IAF MD 17.

8.3 The number of witness assessments depends upon the scope applied per the requirements of IAF MD 17 and UAF's witness policy.

8.4 All the IAF codes, i.e., ID1, have been grouped as technical clusters in the table at serial number 13 of this document, considering the applicable regulations, the process technicalities, and the consequent competence that CB's audit team needs, including the critical codes. The critical codes have been identified for each technical cluster. A critical code is a code that, from a technical point, requires the CB's audit team to have a higher level of competence (due to the environmental aspects involved) or caution (due to the risk of non-conformities and their impact or to the high degree of regulation), or diligence (due to the desired personal behaviors that are important for personnel involved in certification activities as required in a specific context).

8.5 For CABs already accredited by IAF Full Members AB, earlier Witness reports may be accepted after administrative review.

8.6 The application of the IAF-MD documents shall be verified as applicable.

9. WITNESS ASSESSMENTS

For the minimum number of audits to be witnessed, the requirements of IAF MD 17 shall apply.

For the selection of audits that are to be witnessed, the following rules shall apply:

9.1 The following may be considered in deciding the number of witnesses and selection of witnesses during surveillance and reassessment:

9.1.1 The CB's overall performance.

9.1.2 IAF MD 17

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9.1.3 Factors such as process complexity or legislation influence the certified organization's ability to demonstrate its ability to meet the intended outcome of the MS.

9.1.4 Feedback from interested parties, including complaints about certified organizations.

9.1.5 The results of the CB's internal audit(s).

9.1.6 Scheme owner requirements, etc.

9.1.7 Change(s) in CB work patterns – work growth within a specific region or technical area.

9.1.8 Number of clients within the CB's scope of accreditation.

9.1.9 Confidence in the CB's auditor evaluation and approval process.

9.1.10 Previous or other office or witnessing assessment results, etc.

9.2 During witness assessments, the UAF assessment teams will pay special attention to good auditing practices, such as sampling and the application of audit trails, especially when it comes to the audit of:

9.2.1 The internal audit and management review functions.

9.2.2 The EMS documentation.

9.2.3 The recording, evaluation and control of environmental aspects and impacts.

9.2.4 The recording and evaluation of continual improvement and prevention of pollution.

9.2.5 The organization's systems for achieving regulatory compliance.

10.SURVEILLANCE AND REASSESSMENTS

10.1 The implementation of the ISO 14001 certification system will be verified during each surveillance assessment being conducted by UAF. The files reviewed during subsequent surveillance and the reassessment within four years (accreditation cycle) shall comply with the requirements of IAF MD 17. The number of files to be reviewed for each assessment is calculated based on the number of certificates issued since the last assessment. This is approximately one-tenth of the square root of the number of certificates, with a maximum of 18 files and a minimum of one file. The number of files to be reviewed may increase depending on risk-based parameters detailed in the assessment program.

10.2 The application of applicable IAF MD documents shall be verified during each assessment as detailed in the plan.

10.3 For each accreditation cycle (surveillances and reassessment), the number of witnesses will be determined per the assessment program in line with the requirements of IAF MD 17. The number of witnesses may vary per the outcome of client file reviews for each technical cluster in line with the UAF witness policy document UAF Policy 2019-07-01.

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10.4 In applying the above guidelines, it shall be considered whether witness assessments may serve for multiple schemes (e.g., by witnessing combined audits) and how witness assessments can be performed in other schemes.

11.SCOPE EXTENSION

The assessment by UAF in case of an application for an additional scope cluster consists of one or more of the following assessment methods:

11.1 Documents and records review.

11.2 Verification of documents and records and interview of relevant staff during a visit to the office of the CB

11.3 A witness assessment in the technical cluster as per UAF's witness policy document in line with IAF MD 17 requirements.

At least the defined requirements for competence in that technical cluster, records of the qualification process of auditors for that cluster, and a complete certification dossier in that cluster will be verified in the scope extension assessment.

12.GENERAL REMARKS ON WITNESSING

The witnessing shall be performed per UAF policy 2019-07-01: UAF Policy on accreditation scopes & witnessing activities for accreditation of management system CBs.

Generally, two weeks before the witnessing, the CB shall provide the UAF team with the following:

- The records of the CB's contract review for the selected organization (including qualification records for the auditors used).
- A copy of the ISO 14001 certificate issued by the CB in case a surveillance or recertification audit is being witnessed.
- The report of the CB's pre-assessment or stage 1 assessment of the organization's MS (or other latest report) and an audit plan.

Besides the considerations mentioned above for selection of audits to be witnessed, UAF will also consider the following:

- UAF will normally not witness the same auditors that have been witnessed in the same scheme before.
- UAF will normally not witness an audit at the same organization.
- UAF will review the audit report as part of the witness audit.

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To be able to select the audits to be witnessed, the CB shall, on request of UAF, provide a planning for the audits to be conducted in a certain period. The information on these audits shall include, as a minimum:

- Type of audit (initial, recertification or surveillance).
- Name and address of the auditee.
- Audit standard(s).
- Scope of certification.
- Name(s) of auditors(s) and expert(s).
- Date(s) of the audit.

13. SCOPES AND TECHNICAL CLUSTER DETAILS FOR AWARD OF EMS ACCREDITATION

S.No	Technical Cluster	IAF Code/ Group	Description of economic sector/activity, according to IAF ID1	Critical Code(s)
1.	Agriculture, forestry and fishing	01	Agriculture, forestry and fishing	01
2.	Food	03	Food products, beverages and tobacco	03
		30	Hotels and restaurants	
3.	Mechanical	17	Limited to "Fabricated metal products"	20 or 21
		18	Machinery and equipment	
		19	Electrical and optical equipment	
		20	Shipbuilding	
		21	Aerospace	
		22	Other transport equipment	
4.	Paper	07	Limited to "Paper products"	09
		08	Publishing companies	
		09	Printing companies	
5.	Construction	28	Construction	28
		34	Engineering services	
6.	Goods production	04	Textiles and textile products	04 and 05
		05	Leather and leather products	
		06	Wood and wood products	
		23	Manufacturing not elsewhere classified	

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7.	Chemicals	07	Limited to "Pulp and paper manufacturing"	07 and 10 and 12 and 13.
		10	Manufacture of coke and refined petroleum products	
		12	Chemicals, chemical products and fibres	
		13	Pharmaceuticals	
		14	Rubber and plastic products	
		15	Non-metallic mineral products	
		16	Concrete, cement, lime, plaster, etc.	
		17	Limited to "Base metals production"	
8.	Mining and quarrying	02	Mining and quarrying	02
9.	Supply	25	Electricity supply	25 or 26
		26	Gas supply	
		27	Water supply	
10.	Transport & Waste management	31	Transport, storage and communication	24 and 39
		24	Recycling	
		39	Other social services	
		29	Wholesale and retail trade; Repair of motor vehicles, motorcycles and personal and household goods	29 or 35
11.	Services	32	Financial intermediation, real estate, renting	or 36
		33	Information technology	
		35	Other services	
		36	Public administration	
		37	Education	
12.	Nuclear	11	Nuclear fuel	11
13.	Health	38	Health and social work	38