

UNITED ACCREDITATION FOUNDATION



Document Name	ACCREDITATION REQUIREMENTS FOR CERTIFICATION BODIES OPERATING CERTIFICATION OF PERSONS
Document Number	UAF-CAB-PCB-01
Applicable For	All PCB applying for Accreditations
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1 Relevant document

1.1 Accreditation requirements:

- ISO/IEC 17024: Conformity assessment -- General requirements for bodies operating certification of persons

1.2 Additional documents

UAF documents applicable for accreditation of Certification Bodies

- UAF-GEN-CAB-01-General Accreditation requirements.
- UAF-GEN-CAB-02-Conditions for Use of UAF Symbol

2.1 Scope of accreditation: Specific conformity assessment services for which accreditation is sought and in which a CB has demonstrated competence to evaluate and certify persons.

2.2 To ascertain the effectiveness of the certification body's procedures and technical competence in the scope of accreditation, UAF witnesses the Test/examination/assessment conducted by the applicant body. The witness will be based on the scope of the accreditation applied for, the sites to be covered and the scale of the operation of the conformity assessment body.

2.3 To ensure the integrity of the process, for each witnessed certification, the UAF assessor at a minimum must be able to determine that the CB's personnel being witnessed:

- Has the competence required for the certification performed
- Is competent consistent with the competence criteria.
- Has been provided the necessary procedures, certification methods, and equipment.
- Fulfils all requirements of the certification procedures.
- Reports the findings truthfully and accurately.
- Completes the certification records in accordance with ISO/IEC 17024 and any other applicable conformity assessment scheme requirements, and the procedures of the certification body.

2.4 The Scopes are awarded depending upon minimum to ascertain the effectiveness of the certification body's procedures and technical competence in the scope of accreditation. UAF witnesses the certification

activities for each scope applied. In the event of delay in getting witness of test/examination/assessment scheduled for different scopes that the applicant has applied for, the applicant shall apply in writing to UAF for partial assessment of available scopes.

- 2.5 The UAF assessor acts as an observer and takes no action to influence the outcome of the certification.
- 2.6 UAF determines the number of witnessed certifications required at the beginning of each accreditation cycle. Unless specified by a scheme owner or agreed on by the Accreditation Manager, UAF will generally conduct at a minimum one witnessed certification per scope area/Technical sector (e.g. in the case of a scheme regarding a particular MS Lead auditor and implementer, we will witness any one of two) for initial accreditation. The number of witnesses will be decided by the scheme manager depending upon the complexity or the schemes and scopes
- 2.7 The number of required Witness assessment of test/examination/assessment for each accreditation cycle will be based on the scopes and complexity of the accreditation awarded, the sites to be covered and the scale of the operation of the conformity assessment body. UAF will try, as far as possible, to conduct witnessed certifications covering the whole accreditation scope in each accreditation cycle.

3 Accreditation assessments:

The assessment extent and content depend on the requested scope of accreditation, the other activities for which the body is accredited or requests accreditation and the performance of the body at previous assessments.

The Assessment consists of following activities:

1. Document Review
2. Office assessment
3. Witness Assessments

3.1 Initial assessments

During the initial assessment the implementation of policies and procedures is assessed at the office(s) of the body. The content and extent of the assessment shall at least ensure that:

- During the office assessment the team samples the files of certified persons to cover the scope for which accreditation is sought. For granting

accreditation, at least one person certification is witnessed for each applied Scope.

- During the office assessment the team samples the files of certification personnel for each function to cover the scope for which accreditation is sought. At least one certification personnel for each Certification function and one Inspector/examiner for applied scope shall be reviewed completely for award of accreditation of Scopes.
- The number of assessment mandays depends upon the schemes applied and is described in UAF procedures. Need for any additional mandays for specific situations during initial assessment would be estimated by UAF Secretariat and informed to the CB in advance.
- For the selection of certifications to be witnessed the following rules apply:
 1. During an initial accreditation, at least 1 complete certification shall be witnessed for each scope applied.
 2. Depending on the already accredited scope the UAF may decide to omit witness assessments for extension of scope.

3.2 Surveillance and reassessments

The implementation of certification system shall be verified during each surveillance assessment of the UAF. The files reviewed during the subsequent surveillances and the reassessment in a four years period (accreditation cycle) shall cover all the accredited scopes. The number of files to be reviewed for each assessment is calculated from the number of certifications under accreditation.

In case of a higher diversity of sector schemes as well as a higher number of inspectors/examiners and awarded certificates, the number of witness assessments will be increased accordingly. In the application of the above guidelines, it shall be considered whether witness assessments may serve for multiple schemes (e.g., by witnessing combined certifications) and how many witness assessments are performed in other schemes as detailed in the assessment program.

3.3 Scope extension

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

1. A review of documents and records;
2. A visit to the office of the CB, to verify documents and records and to interview relevant staff;

3. A witness assessment.

At least the defined requirements for competence in that sector, records of the qualification process of inspectors/examiner for that sector, and a complete certification dossier in that sector will be verified in a scope extension assessment.

3.4 General remarks on witnessing

At least two weeks before the witnessing the UAF team shall be provided with:

- The records of the CB's contract review for certification process (including qualification records for the inspectors/examiners used);
- In case a surveillance or re-certification is witnessed, a copy of the earlier report

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

- UAF will normally not witness the same inspectors/examiners that have been witnessed in the same scheme before;
- UAF will normally not witness a certification of the same person; Witnessing of certifications also includes the review of the certification decision report.

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

- type of certification process
- name and location of person;
- certification scheme;
- scope of certification;
- name(s) of examiners/certifiers and expert(s);
- date(s) of the certification.