

UNITED ACCREDITATION FOUNDATION



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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 REQUIREMENTS

ISO/IEC, IAF and other applicable requirements for accreditation of ISO 9001 certification:

- ISO/IEC 17021-3 Requirements for bodies providing audit and certification of management systems. Part 3: Competence requirements for auditing and certification of Quality 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 ADDITIONAL DOCUMENTS APPLICABLE FOR ACCREDITATION OF ISO 9001 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
- UAF-PL:2019-07-01: UAF Policy on accreditation scopes & witnessing activities for accreditation of management system CBs

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- 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 9001-Quality management systems -- Requirements with guidance for use.

5. SCOPE OF ACCREDITATION

The scope of accreditation is described in the table at serial number 13 as defined in IAF ID 1:2020 based on listing 39 IAF groups/scopes divided into 14 technical clusters, as also detailed in IAF MD17.

6. ACCREDITATION ASSESSMENTS

The accreditation assessment depends upon the following factors:

- The applied IAF Codes/Scopes, including critical codes
- Critical Locations/Locations
- Countries where UAF-accredited certificates can be issued.
- Existing Accreditation by other ABs.
- Other activities carried out by CAB.
- Other relevant details as completed in the accreditation application.

7. ASSESSMENTS

- a) Document Review
- b) Initial Office Assessments
- c) Witness Assessments.
- d) Remote Assessments

8. INITIAL ASSESSMENTS

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

- Details of terminology and technology specific to the technical area;
- statutory and regulatory requirements applicable to the product or service specific to the technical area;
- characteristics of products, services and processes specific to the technical area;

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- the infrastructure and environment for the operation of processes affecting product and service quality;
- the provision of externally provided processes, products and services;
- The impact of organization type, size, governance, structure, functions and relationships on developing and implementing the QMS, its documented information and certification activities.

During the initial office assessment, the team samples the files of certification personnel for each function to cover the scope for which accreditation is applied.

At least one certification personnel for each certification function for each IAF code/scope and one auditor per IAF code/scope requested shall be reviewed completely for the award of accreditation of Scopes subjected to completion of witness in that IAF cluster per requirements of IAF MD 17

The number of witness assessments depends upon the scopes applied as per requirements of IAF MD 17. At least one witness is required in each technical cluster as per IAF MD 17

All the IAF codes, i.e., ID 1, have been grouped as technical clusters in the table at serial number 13 of this document, taking into consideration the applicable regulations, the technicalities of the processes, and the consequent competence needed by CB's audit team applicable to Quality management system including 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 complexity of the processes or caution (due to the risk of non-conformities or 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).

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

9. WITNESS ASSESSMENTS

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

The following may be taken into account in deciding the number of witnesses and selection of witnesses during surveillance and reassessment:

- a) The CB's overall performance
- b) IAF MD 17
- c) Factors such as process complexity or legislation, etc., influence the ability of the certified organization to demonstrate its ability to meet the intended outcomes of the MS;



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- d) Feedback from interested parties, including complaints about certified organizations;
- e) The results of the CB's internal audits;
- f) Scheme owner requirements, etc.;
- g) Changes in CB work patterns – growth of work within a specific region or technical area;
- h) Number of clients within the CB's scope of accreditation;
- i) Confidence in the CB's auditor evaluation and approval process; and,
- j) Previous or other office or witnessing assessment results, etc.

The following additional factors may be taken into account to selecting witnessing activities:

- a) Number of certificates issued;
- b) number of auditors;
- c) different auditors, and whether auditors are internal staff or external resources;
- d) complex clients, combined and integrated audits, multi-site audits
- e) Countries where audits in the certification process are performed.
- f) Complaints, customer surveys.
- g) Interested parties and regulator's requests.
- h) The technical clusters already assessed
- i) Experience from other types of accreditation of the CB
- j) Previous history of the CB's ability to manage its operations.
- k) Level of controls exercised by a CB over its critical activities.
- l) specific scheme requirements;
- m) Agreements with clients.

10. SURVEILLANCE AND REASSESSMENTS :

The surveillance assessments shall be carried out annually or earlier if recommended by the assessment team during the initial assessment. The surveillance duration depends on various factors outlined in the assessment program. The number of witnesses will be determined according to the Assessment Program in line with IAF MD 17 requirements. The number of witnesses may vary based on the outcome of client file reviews for each technical cluster in line with the UAF witness policy document UAF Policy 2019-07-01.

The implementation of the ISO 9001 certification system will be verified during each surveillance assessment 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.

Applying the above guidelines shall consider whether witness assessments may serve for multiple schemes (e.g., by witnessing combined audits) and how witness assessments



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are performed in other schemes. The accreditation cycle will be for four years, and the reaccreditation assessment should be carried out at least four months before the accreditation expiry. The assessment plan will be listed in the assessment program and updated as required.

11. SCOPE EXTENSION

The assessment of scope extensions for adding IAF Codes/scopes shall be handled per IAF MD 17

The scope extensions for the addition of countries/locations/critical locations shall be handled as per UAF F-31A-Annexure A- Guidance for the addition of countries, locations and critical Locations.

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 CB's contract review records 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.

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.



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

S.No	Technical Cluster	IAF Code / Group	Description of economic sector/activity, according to IAF ID1	Critical Code(s)
1.	Food	01	Agriculture, forestry and fishing	03
		03	Food products, beverages and tobacco	
		30	Hotels and restaurants	
2.	Mechanical	17	Limited to "Fabricated metal products"	20 or 22
		18	Machinery and equipment	
		19	Electrical and optical equipment	
		20	Shipbuilding	
		22	Other transport equipment	
3.	Paper	07	Limited to "Paper products"	09
		08	Publishing companies	
		09	Printing companies	
4.	Minerals	02	Mining and quarrying	02 or 15
		15	Non-metallic mineral products	
		16	Concrete, cement, lime, plaster, etc.	
5.	Construction	28	Construction	28
		34	Engineering services	
6.	Goods Production	04	Textiles and textile products	05 or 14
		05	Leather and leather products	
		06	Wood and wood products	
		14	Rubber and plastic products	
		23	Manufacturing not elsewhere classified	
7.	Chemicals	07	Limited to "Pulp and paper manufacturing."	12
		10	Manufacture of coke and refined petroleum products	
		12	Chemicals, chemical products and fibres	
8.	Supply	25	Electricity supply	26
		26	Gas supply	
		27	Water supply	
9.	Transport & Waste management	31	Transport, storage and communication	24
		24	Recycling	
		39	Other social services	
10.	Services	29	Wholesale and retail trade; Repair of motor vehicles, motorcycles and personal and household goods	37 Or 33
		32	Financial intermediation, real estate, renting	
		33	Information technology	
		35	Other services	

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		36	Public administration	
		37	Education	
11.	Nuclear	11	Nuclear fuel	11
12.	Pharmaceuticals	13	Pharmaceuticals	13
13.	Aerospace	21	Aerospace	21
14.	Health	38	Health and social work	38