Dutch Accreditation Council (RvA)

Specific Accreditation Protocol (SAP) for Certification of Environmental Management Systems (EMS) in accordance with ISO 14001

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Content

INTRODUCTION

This SAP should be read in conjunction with SAP-C000, This SAP only contains additional or deviating aspects. This means that paragraph numbers in this SAP are missing if the information is already contained in SAP C000.

1   Relevant documents

1.1   Accreditation standard

- ISO/IEC 17021-1, Conformity assessment - Requirements for bodies providing audit and certification of management systems - Part 1: Requirements

1.2   Additional standards

- ISO/IEC 17021-2, Conformity assessment - Requirements for bodies providing audit and certification of management systems. Part 2: Competence requirements for auditing and certification of environmental management systems

1.3   Additional documents

- RvA-T041; Implementation of ISO 9001:2015 and 14001:2015
- EA-7/04, Legal Compliance as a part of accredited ISO 14001:2015 certification

1.5   Documents with respect to the conformity assessment to be used

Certification Bodies (CBs) certify against:
- ISO 14001, Environmental management systems - Requirements with guidance for use
- Certification scheme for Environmental management systems in accordance with ISO 14001:2015 (SCCM certification scheme)

1.6   Specific legal and/or regulatory documents

The standard ISO 14001 refers to compliance obligations. The CB shall be able to demonstrate that they are competent with respect to this issue. This has an impact on the CB's management (for instance for the functions of application review, competence requirements determination, the competent evaluator, and the certification decision function) and off course for its auditors. Guidance is provided in EA-7/04.

For (witness) assessments outside The Netherlands, the RvA will normally include a local technical expert in local environmental issues (such as environmental legislation) in the assessment team. In case more witness assessments are done the RvA may not in all audits focus on the audit of legal requirements and a local technical expert may not be employed. RvA will inform the CB in advance whether or not a technical expert will be used.

2 Scope of accreditation

The general policy for defining scopes has been detailed by the RvA in its Policy Regulation RvA-BR003. Specifically for this accreditation, the scope will be formulated as described in annex 1.

3 Accreditation assessments

3.1 Documents to be submitted

The documents to be submitted for a RvA assessment are mentioned in the application forms RvA-F001a, F105, F006-2 and in annex 1 to RvA-BR005. For this type of accreditation the RvA assessors should additionally be supplied with the documents as specified below:

Additional documents to be submitted	Preliminary assessment	Initial assessment	Extension of scope
An application for initial accreditation or extension of scope should at least include the following: • 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; • information about the availability of this competency (competence evaluation of (sub-) contracted auditors or experts for specified technical areas); • identification of additional requirements or specific guidelines to be used for the technical areas. • (adaptation of) the analysis regarding the identification of potential impartiality risks with respect to EMS certification and approval of the impartiality committee thereof, after the composition has been adapted (where necessary) to ensure the representation of parties involved with EMS certification.	√	√	√

3.2 Nature and content of the assessments

3.2.1 Initiële beoordelingen en scope uitbreidingen

During the office assessment, the team will take samples from the certification files and competence files within the requested scope for accreditation. At least one certification and one competence file per IAF sector requested shall be reviewed completely, unless more than 10 IAF sectors have been requested, in which case sectors may be omitted in the sample. This is at the discretion of lead assessor, applying the following guidelines:

• Only the less complex sectors may be omitted, so not the critical codes, see annex 1.
• Files from each clusters (see annex 1) should be assessed (the sample has to be representative for the scope requested).
• Sectors, which are included in the program for witnessing, may be excluded;
• If accreditation for more than ten sectors is requested, in total more than ten files shall be assessed.

The above is also applicable for extensions of the scope.

For the selection of audits to be witnessed, the rules from paragraph 3.2.3 apply.

3.2.2 Surveillance and reassessments

The implementation of the ISO 14001 certification system shall be verified during each surveillance assessment of the RvA. The files reviewed (this includes personnel files and certification files) during the subsequent surveillances and the reassessment in a four years period (accreditation cycle) shall cover all the IAF codes mentioned in annex 1 for which the CB is accredited.

For each accreditation cycle (surveillance and re-assessment), the number of witness assessments is determined, based on the factors listed in paragraph 3.2.3.

3.2.3 Witnessing

At least two weeks before the witness assessment the RvA team shall be provided with the documents mentioned in annex 1 of RvA-BR005.

Selection of witness audits

In accordance with IAF MD17, all the IAF codes (see IAF ID1) have been merged into technical clusters as appropriate for EMS certification (see annex 1). For each of these clusters, critical codes have been identified.

The following witness selection rules apply for the granting and extension of accreditation of EMS certification to guarantee a representative coverage of the applied scope:

- If a technical cluster has only one critical code, RvA shall perform a witness assessment in this critical code to grant accreditation for all the IAF codes in that cluster. For the cluster Paper for example, with one witness in IAF code 09 the RvA can grant accreditation for the other IAF codes (7 (limited…) and 8) of that cluster.
- If a technical cluster has more than one critical code, the RvA shall perform at least a witness assessment in:
  - all the critical codes that are identified with an "and" in the 'critical code' column. For the cluster Goods Production for example with one witness in IAF code 04 or 05, the RvA can grant accreditation for that code and in all the non-critical codes (06 and 23) of that cluster, but the other critical code (04 or 05) also needs to be witnessed to be granted;
  - in one of the critical codes that are identified with an "or" in the 'critical code' column. For the cluster Mechanical for example, with one witness in IAF code 20 or 21, the RvA can grant accreditation for the other IAF codes (17, 18, 19, 20, 21 or 22) of that technical cluster.

- if it is not possible to perform a witness assessment in the IAF codes identified as critical, RvA can agree with the CB on one of these two options:
  - The RvA can grant accreditation only in the non-critical IAF codes of the technical cluster for one of which a witness assessment has been performed. For the cluster Paper for example,

with one witness in IAF code 07, a paper products company, e.g. cardboard box manufacturer, can be granted accreditation for both IAF code 7 (limited to paper products) and 8), or

- the RvA can grant accreditation in all the codes of the cluster (7, 8 and 9), performing an office assessment clearly covering the critical code(s), but under the additional conditions that:
  - the CB has demonstrated its competence on a documental basis in all the codes of the cluster and
  - the witnessing activity in the critical code(s) takes place before any certificate in the critical code(s) is issued under accreditation.

  However, if the result of the witnessing activity in such cases is negative, the RvA shall consider an immediate reduction of the scope of accreditation.

If the CB wants to be accredited only in one or more non-critical IAF codes, a minimum of one witness audit is still required in each cluster with non-critical IAF codes.

During the initial accreditation cycle (meaning from first surveillance to the first reassessment), RvA will perform at least one witnessing activity in each technical cluster. This programme will continue until the CB has demonstrated sufficient experience and performance for a less intensive assessment programme. In this case the RvA will perform at least one witnessing activity in each technical cluster per two successive accreditation cycles. This shall be complemented with other assessment activities to guarantee that each technical cluster is assessed during each cycle. The RvA shall justify why the witnessing programme was reduced. Normally, the witnessing frequency established for a first cycle will be reinstated if significant changes occur in the CBs' auditor qualification process, auditing practices or results and audit personnel.

Additionally (in The Netherlands): If the CB has certified so-called 'BRZO companies' (companies with a special legal status in The Netherlands), the RvA will try to witness audits at such an organisation at least once per accreditation cycle. The PMA will have to request the CB's to indicate which of its certified companies are 'BRZO companies', to enable the RvA to make a selection for the witness assessment(s).

Parts of IAF ID1 codes in scope of accreditation
In accordance with annex 1 (also see IAF MD17), some IAF ID1 codes occur partially in one cluster, and partially in another. Because of this (but also for other reasons), it can be that the CB has only a part of an IAF ID1 code it is scope of accreditation. IAF ID1 codes in two clusters should be regarded as two separate codes, that both will have to be covered in the selection of files for dossier assessment or witnessing. Other types of deviation for the selection of witness assessments and/or file review can be made in consultation between the PMA, Team leader and the Expert (and will be accounted for in the accreditation file).

4   Specific points of attention for the RvA assessment

During witness assessments, the RvA assessment teams will pay special attention to good auditing practices, such as sampling and the application of audit trails, especially regarding auditing of:

- the recording, evaluation and control of environmental aspects and impacts;
- the recording and evaluation of continuous improvement and prevention of pollution;
- the organization's systems for achieving regulatory compliance and for the application of EA-7/04;
- the reliability and traceability of the organisation's communicated environmental information.

During the witness of a stage 1 audit, special attention will be given to (see EN ISO/IEC 17021-1, cl. 9.3.1.2.2):

- key elements of the system (such as determination of significant environmental aspects);
- scope of the system in relation to applicable statutory and regulatory requirements.

5 Other information

For The Netherlands, further guidance can be found in the current interpretation documents of the centralized Committee of Experts (SCCM): Certification scheme for Environmental management systems according to ISO 14001:2015 (SCCM certification scheme). For CBs accredited on the basis of the Dutch SCCM certification scheme, these guidance documents are mandatory.

For CB's, that have been accredited on the basis of the Dutch SCCM certification scheme for EMS certification, the SCCM will be informed about significant changes in the accredited status of the CB (such as initial granting and subsequent suspensions or withdrawals).

6 Changes with regard to the previous version

In comparison with version 2 of June 2017, the following significant changes have been made:

- improved reference to EA-7/04;
- additional rules and guidance for the selection of witness assessments and files for assessment.

Annex 1: Scopes used for accreditation of EMS certification bodies

Technical cluster	IAF code	Description of economic sector/activity, according to IAF ID1	Critical code(s)
Agriculture	1	Agriculture, forestry and fishing	1
Mining	2	Mining and Quarrying	2
Goods production	4	Textiles and textile products	4 and 5
	5	Leather and leather products	
	6	Wood and wood products	
	23	Manufacturing not elsewhere classified	
Food	3	Food products, beverages and tobacco	3
	30	Hotels and restaurants	
Paper	7	Limited to "Paper products"	9
	8	Publishing companies	
	9	Printing companies	
Nuclear	11	Nuclear fuel	11
Chemicals	7	Limited to "Pulp and paper manufacturing"	7 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 metal production"	
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	
Construction	28	Construction	28
	34	Engineering services	
Utilities	25	Electricity supply	25 or 26
	26	Gas supply	
	27	Water supply	
Transport & Waste management	24	Recycling	24 and 39 (limited to NACE 37, 38.1, 38.2, 39)
	31	Transport, storage and communication	
	39	Other social services	

Technical cluster	IAF code	Description of economic sector/activity, according to IAF ID1	Critical code(s)
Services	29	Wholesale and retail trade; Repair of motor vehicles, motorcycles and personal and household goods	29 or 35 or 36
	32	Financial intermediation; real estate; renting	
	33	Information technology	
	35	Other services	
	36	Public administration	
	37	Education	
Health	38	Health and social work	38