

**Raad voor Accreditatie
(Dutch Accreditation Council
RvA)**

**Specific Accreditation
Protocol for Certification of
Quality Management
Systems in accordance
with ISO 9001**

Document code:

RvA-SAP-C004-UK

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A Specific Accreditation Protocol (SAP) describes the assessment service for a specific accreditation. It should be read in conjunction with the generic RvA regulations and policy documents. A current version of the SAP is available through the website of the RvA. (www.rva.nl).

Content

Introduction	4
1 Relevant documents	4
1.1 Standard used for accreditation	4
1.2 Additional standards	4
1.3 Documents related to the conformity assessments to be carried out	4
2 Scope of accreditation	4
3 Accreditation assessments	5
3.2 The nature and content of the assessment	5
4 Andere informatie	7
5 Changes with regard to the previous version	7
Annex 1: Scope clusters	8

Introduction

This SAP shall be read in conjunction with SAP-C000, only additional or deviating aspects will be listed in this SAP. This means that some paragraph numbers in this SAP may be missing (if the information is already contained in SAP C000).

1 Relevant documents

1.1 Standard used for accreditation

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

1.2 Additional standards

- ISO/IEC 17021-3 Conformity assessment – Requirements for bodies providing audit and certification of management systems. Part 3: Competence requirements for auditing and certification of quality management systems

1.3 Documents related to the conformity assessments to be carried out

Certification bodies (CB) certify against:

- ISO 9001, Quality management systems – Requirements.

2 Scope of accreditation

An accreditation for ASRP (see IAF MD3) will be mentioned explicitly in the scope of accreditation.

Under ISO 9001 certification, it is possible to include several co-notations in the scope (these require a specific extension of scope assessment):

- ISO 3834-2 “Quality requirements for welding. Fusion welding of metallic materials. Comprehensive quality requirements”;
- AQAP 2110, Nato Quality Assurance requirements for design, development and production;

3 Accreditation assessments

3.2 The nature and content of the assessment

3.2.1 Initial assessments and extensions of scope

During the office assessment, the team samples the files of clients and personnel to cover the scope for which accreditation is sought. At least one client and one file concerning competence per IAF sector requested shall be reviewed completely, unless more than ten IAF sectors have been requested, in which case sectors may be omitted in the sample. This is to be determined by the Lead Assessor, who shall apply the following guidelines:

- Only the less complex sectors should be omitted (not the critical codes, refer to [annex 1](#));
- Dossiers from each of the clusters (see [annex 1](#)) shall be assessed (i.e. the sample shall be representative for the scope requested);
- Sectors, which are included in the program for witnessing, may be excluded;
- In case of more than ten sectors, in total, more than ten files (certification and competence 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 9001 certification system shall (in general) be verified during each surveillance assessment of the RvA. The files reviewed (certification and competence files) during the subsequent surveillances and the reassessment in a four years period (accreditation cycle) shall cover all the IAF sectors mentioned in [annex 1](#) for which the CB is accredited.

For each accreditation cycle (surveillances and reassessment), the number of witnesses will be determined based on rules in paragraph [3.2.3](#).

3.2.3 Witnessing

General remarks:

At least two weeks before the witnessing the RvA team shall be provided with the following documents (in addition to the in annex A of RvA-BR005 mentioned documents):

- A description of the organization, in which at least its activities, the organisation structure and top level procedures are summarized so that the RvA assessor can obtain a reasonable picture of the audit client and its system;

In addition to what is stated in 3.2.3 of SAP-C000, during an accreditation cycle, at least a quarter (with a minimum of one) of the audits to be witnessed shall include design control (clause 8.3 of ISO 9001:2015).

Selection of witness audits:

In line with IAF MD17, the IAF codes (see IAF ID1) are merged into technical clusters (in which the applicable legislation, technical aspects of the processes and the necessary competencies that follow are taken into account, see [annex 1](#)), as appropriate for quality management system certification (QMS certification). For each of these clusters, critical codes have been identified.

The following rules for selection of witnesses apply for the granting and extension of accreditation of QMS certification to guarantee a representative coverage of the applicant scope:

- if a technical cluster has only one critical code, RvA shall perform a witnessing activity in this critical code to grant accreditation for all the IAF codes in that cluster. For example for cluster Food RvA can grant accreditation with one witnessing activity in IAF code 03 for the other IAF codes (01 and 30) of that cluster;
- if a technical cluster has more than one critical code, RvA shall perform at least a witnessing activity in one of the critical codes that are identified with an “or” (on the “critical code” column); For example in cluster Mechanical, RvA can grant accreditation with one witnessing activity in IAF code 20 or 22 for the other IAF codes (17, 18, 19, 20 or 22) of that technical cluster;
- if it is not possible to perform a witnessing activity in the IAF code/s 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 witnessing activity is performed. For example in cluster Food RvA can grant accreditation with one witnessing activity in IAF code 30 for both IAF code 30 and 01, or
 - the RvA can grant accreditation in all the codes of the cluster, performing an office activity in the critical codes, 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 accredited certificate in the critical code is issued.

However, in such cases, if the result of the witnessing activity is negative, RvA shall consider reducing 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 required in each cluster with non-critical IAF codes.

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

4 Andere informatie

If accreditation is requested for specific schemes related to ISO 9001, RvA may have published other specific accreditation protocols for these schemes. This can be verified at the RvA website.

5 Changes with regard to the previous version

In comparison with version 3 dated October 2019 the following significant changes have been made:

- Additional documents (was 1.3) deleted. This was a reference to RvA-T041. This document is no longer applicable.

Annex 1: Scope clusters

Technical cluster	IAF code	Description of economic sector/activity, according to IAF ID1	Critical code(s)
Food	1	Agriculture, forestry and fishing	3
	3	Food products, beverages and tobacco	
	30	Hotels and restaurants	
Mechanical	17	Basic metals and fabricated metal products	22 or 20
	18	Machinery and equipment	
	19	Electrical and optical equipment	
	20	Shipbuilding	
	22	Other transport equipment	
Paper	7	Limited to "Paper products"	9
	8	Publishing companies	
	9	Printing companies	
Minerals	2	Mining and quarrying	2 or 15
	15	Non-metallic mineral products	
	16	Concrete, cement, lime, plaster, etc.	
Construction	28	Construction	28
	34	Engineering services	
Goods production	4	Textiles and textile products	5 or 14
	5	Leather and leather products	
	6	Wood and wood products	
	14	Rubber and plastic products	
	23	Manufacturing not elsewhere classified	
Chemicals	7	Limited to "Pulp and paper manufacturing"	12
	10	Manufacture of coke and refined petroleum products	
	12	Chemicals, chemical products and fibres	
Supply	25	Electricity supply	26
	26	Gas supply	
	27	Water supply	
Transport & Waste management	24	Recycling	24
	31	Transport, storage and communication	
	39	Other social services	
Services	29	Wholesale and retail trade; Repair of motor vehicles, motorcycles and personal and household goods	33 or 37
	32	Financial intermediation; real estate; renting	
	33	Information technology	
	35	Other services	
	36	Public administration	
	37	Education	
Nuclear	11	Nuclear fuel	11
Pharmaceutical	13	Pharmaceuticals	13
Aerospace	21	Aerospace	21
Health	38	Health and social work	38