DUTCH ACCREDITATION COUNCIL

Accreditation specification RvA

Accreditation of certification bodies for products, processes and services (EN-ISO/IEC17065)

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Content

Introduction

This is the Accreditation Specification RvA that addresses the accreditation of certification bodies for products, processes and services according to the standard EN-ISO/IEC 17065. In addition to this ASR, there may be an ASR for a particular field of activity – as mentioned in Annex B, which details aspects relevant to that field of activity.

1 Relevant documents

1.1 Standard used for accreditation

- EN-ISO/IEC 17065; Conformity assessment – Requirements for bodies certifying products, processes and services

1.2 Additional documents

- ASR001 Overview of RvA, EA, ILAC & IAF documents

The current version of this document provides the overview of the relevant RvA, EA, ILAC and IAF documents, both mandatory and informative, applicable to accreditation for EN-ISO/IEC 17065. The documents can be downloaded from the website of the organisation(s) concerned: IAF (www.iaf.nu), ILAC (www.ilac.org), EA (www.european-accreditation.org), RvA (www.rva.nl).

1.3 Additional documents (informative)

The following documents give information on (schemes for) productcertification

- ISO/IEC TR 17026 Example of a certification scheme for tangible products;
- ISO/IEC TR 17028 Guidelines and examples of a certification scheme for services;
- ISO/IEC TR 17032 Guidelines and examples of a scheme for the certification of processes;
- ISO/IEC 17067 Fundamentals of product certification and guidelines for product certification schemes;
- ISO/IEC 17007 Guidance for drafting normative documents suitable for use for conformity assessment.

Current versions of these documents can be downloaded from the website of the relevant organisation(s): IAF (www.iaf.nu), ILAC (www.ilac.org), EA (www.european-accreditation.org), ISO (www.iso.org), RvA (www.rva.nl).

1.4 Documents relating to the conformity assessments to be carried out

The Certification Body (CB) uses a certification scheme for (each group of) products, processes or services. The name of the certification scheme is stated on the scope of accreditation. Product requirements can be specified in normative documents such as regulations, standards and technical specifications.

1.5 General requirements for EN-ISO/IEC 17065 schemes

Based on EN-ISO/IEC 17065, clauses 6.2.1 and 6.2.2 the method of conformity assessment shall be specified in accordance with the applicable requirements from:

- testing (EN-ISO/IEC 17025);
- inspection (EN-ISO/IEC 17020);
- audit (EN-ISO/IEC 17021-1);
- validation and verification (EN-ISO/IEC 17029).

The method in the scheme shall comply with the stated applicable requirements from the above international standards.

1.6 Specific legislation and regulations

Specific legislation and regulation that make the relevant conformity assessment and/or accreditation mandatory for the subject of a specific ASR are mentioned here.

ASR007 provides an explanation of requirements for conformity assessment schemes, including an explanation if schemes include requirements from laws and regulations.

2 Scope of accreditation

For accreditation of certification bodies for products, processes and services the scope is formulated as follows. Flexible scopes are not used for this standard.

Table 1. Intended scope of accreditation

Product / product group	The name of the certification scheme	Standard / normative document
Specification of (group of) products, processes or services	*The method(s) of conformity assessment must be specified in accordance with EN-ISO/IEC 17065:2012 6.2.1/6.2.2 including the statement of the evaluation method(s) as testing, inspection, audit, validation and/or verification.*	*Specification of the normative documents which contain the requirements against which the product, process or service is to be assessed.*
Product example: Alarm products	Example: Alarm product certification scheme Initial assessment: • Product test (testing) • Initial inspection of production control (inspection) Periodic surveillance: • Product test (testing) • Initial inspection of production control (inspection)	Example: EN 123, ISO 456, EN-ISO/IEC 789
Process example: Sustainably produced biomass	Example: Biomass sustainability verification protocol compliant with the REDII requirements for SDE 1. Verification for the year of conformity declaration where the energy producer has used a REDII approved certification scheme. 2. Verification for the year of conformity declaration where the energy producer has made use of incoming deliveries with alternative evidence. • Assessment of the administration for the purpose of the verifications (inspection) • Performing the verification for the conformity year statement (verification)	Example: Biomass sustainability verification protocol
Service example: Care services	Example: Certification scheme – Care Sector Initial assessment: • Service inspection (inspection) • Audit of supporting management system (audit) Periodic surveillance: • Service inspection (inspection) • Audit of supporting management system (audit)	Example: Quality Criteria Set

3 Accreditation Assessments

3.1 Documents to be provided

For the purpose of RvA assessments, assessors shall be provided with relevant documents as specified in Annex A.

3.2 The nature and content of the assessments

In addition to the general rules for the nature and content of the RvA assessments as laid down in RvA-BR001, the rules from the table below apply to this specific accreditation.

The nature and content of the assessments depend on the requested scope of accreditation, any pre-existing accreditation, the past performance of the organization (if applicable) and risks.

When possible, clusters of products, processes and services are defined to cluster and equally divide the assessment activities of office assessments and witnesses throughout the accreditation cycle. A cluster may consist of products with, for example, the same technology, material or application. The nature and content of the assessments is determined per cluster/individual scheme or per (European) directive, regulation or legislation.

Method of assessment	**Initial assessment(1)**	**Regular assessment in the cycle (2)(5)**	**Scope extension (1)(3)**
Pre-assessment (6)	√		√
Document assessment			If applicable
Office assessment (*) Up to a maximum of 2 assessment days per product(group) or cluster	√ (customer)files: At least 2 files per product(group) or cluster(*) + Competence files: 25%; at least 2 competence files(*)	√ (annual) Twice during the cycle per product(group) or cluster (customer)files: 1/4√n; at least 2 files (*) + Competence files: 25%; at least 2 files(*)	√ (customer)files: At least 2 files per product(group) or cluster(*) + Competence files: 25%; at least 2 competence files(*)
Witnessing of activities(4)	√ Minimum 1 per product(group) or cluster	At least each evaluation method per product(group) or cluster twice	√

(1) If a CAB is not yet designated or recognised for these activities as a notified body, and this is a requirement from European directives or regulations, it is possible to make use of temporary accreditation with restricting conditions, in accordance with RvA-BR001.

(2) A(n) (accreditation) cycle covers a period of four years, starting after a decision on an initial assessment or reassessment has been taken; the cycle therefore includes surveillance assessments and reassessments during this period.

(3) Based on the application, the RvA will determine how the assessments of the extension will be carried out.

(4) A full witness consists of witnessing the different evaluation methods covered by the scheme. A full evaluation method is witnessed, unless the objectives for the assessment activity can also be achieved with partial witness (for example, in the case of audit teams with several persons, or multi-day certification audits). In principle, opening and closing are always attended.

(5) The CAB shall notify the RvA on changes of own schemes. The RvA will determine based on the nature and content of the change(s) if the changes can be assessed during the regular assessment or if a different assessment method is needed.

(6) Scheme-evaluations for new own schemes of a CAB are conducted during the pre-assessment.

3.3 Table for purpose of determining sample size of file assessment

The total number of client files to be verified per regular office assessment is determined by the number of valid certificates under RvA accreditation per product(group) or cluster and is determined according to the formula: 1/4√n in which n equals the number of valid certificates under accreditation.

Number of valid certificates	< 100	100 – 195	196 – 323	324 – 483	484 – 675	676 - 899	≥ 900
Number to be assessed	2	3	4	5	6	7	8

For an initial assessment or scope expansion, the guideline is the number of certificates issued until then.

3.4 Witnessing of activities

The following general rules, in addition to the requirements from the table in 3.2, apply for the witnessing of activities

1. When choosing the witnessing activity for initial assessments or re-assessments, product(groups) or clusters must be selected that set the highest requirements for competency of the organisation.
2. When the CB uses results from non-accredited organisations, at least once during the accreditation cycle the RvA will witness the evaluation of that organisation by the CB.
3. The RvA can replace (a part of) a witness with a shadow assessment (see RvA-T040).
4. Preferably the RvA will not witness any evaluation personnel who have already been witnessed within the current or previous accreditation cycle for that scheme, unless there is no other evaluation personnel.
5. Preferably the RvA will not undertake witnessing activities at companies where witnessing has previously been undertaken within the accreditation cycle.
6. During the accreditation cycle, if possible, at least one third of the witnessing activities (minimum one) will take place at an initial certification or recertification.
7. The assessment of the CB report is a part of the witness. The CB must provide the RvA with the report within a maximum of 10 working days after the finish of the evaluation.
8. In order to facilitate the selection of witnessing activities, the CB shall, on the request of the RvA, make its schedule available for a specified period. This period will be specified by the RvA. For schemes in which only unannounced activities are undertaken, the RvA must be periodically provided with a current list of certification holders

4 Specific assessment issues

During an assessment the RvA assessment team will cover the following issues:

1. The functioning of the CB's impartiality committee (or another mechanism). This will be assessed during the initial assessment and at least once in depth during the accreditation cycle. The RvA Lead Assessor (LA) shall determine the method. This method can consist of an interview (in

person or by telephone) with a non-CB representative of the Committee, or the witnessing of (part of) a committee meeting.

2. The use of umbrella certification is only possible if the scheme explicitly allows it. The scheme shall include requirements for the use. For requirements on the supporting management system the scheme shall refer to IAF MD 1. Umbrella certification is not possible for independent companies or organizations that have no connection other than being brought together for the purpose of umbrella certification for product certification. More information on IAF MD 1 can be found in ASR103.
3. The following issue is for CB's accredited for EU 2022/996. RvA follows EA TMB Resolution 2023 (13) 02: A certification body performing audits on behalf of a voluntary scheme shall be accredited to ISO/IEC 17065, and when a certification body performs verification activities, either with its internal resources or with other resources under its direct control, it shall meet the applicable requirements of ISO/IEC 17029 and ISO 14065:2020. The certification body shall outsource verification activities only to bodies that meet the applicable requirements of ISO/IEC 17029 and ISO 14065:2020.

4.1 Non-accredited in-house activities

When an accredited CAB carries out in-house activities as a part of accredited activities for which it is not separately accredited, the RvA will conduct an assessment. The nature and content of the assessment of these activities will depend among other things on the extent to which a CAB can demonstrate that it assesses these activities itself against the relevant criteria. The activities referred to here are:

- Calibration of measuring instruments by certification bodies;
- Conducting of tests or inspections by certification bodies.

4.2 Transfer of certificates

The EN-ISO/IEC 17065 doesn't provide guidance on the transfer of certificates between CABs. Document IAF MD2 applies to the transfer of accredited certification of management systems (i.e., under EN-ISO/IEC 17021-1). That document is not directly applicable to EN-ISO/IEC 17065, but it reflects the principles for transfer of certificates.

Transfer of certificates is only possible between parties that are both accredited for the same subject, under the condition that the scheme offers the possibility for transfer and describes the conditions for transfer. If the scheme does not offer a possibility for transfer of certificates, then the scheme does not allow transfer of certificates. The accepting CB must then (in accordance with the principles in IAF MD2) consider a client as a new client.

5 Other information

Not applicable to this general ASR.

6 Organisations to be informed

Not applicable to this general ASR.

7 Changes compared to the previous version of this document

- This is the first version of this document as an ASR document. This means that Specific Accreditation Protocol C008 has lapsed.
- Compared to Specific Accreditation Protocol C008, the following changes have been applied: This document has been converted to the template used by the RvA for Accreditation Specifications
- Reference is made in 1.2 and 1.3 to the ASR001, the document that provides an overview of all relevant publications of the RvA, EA, ILAC and IAF per standard for accreditation.
- Section 3.1 refers to Annex A for the submission of documents for the different types of assessments.
- Annex A is a combination of the information requested on the RvA website for initial assessments and extensions and the information from repealed policy rule BR005 for surveillances, reassessments and witnesses.
- Annex B indicates for which areas of work the RvA can grant accreditation for this standard. This text comes from repealed policy rule BR010 and refers to document ASR007.
- Annex C gives examples of A non conformities for this type of accreditation. This text comes from repealed policy line BR004.
- Duplicates in the document have been removed.
- Clarifications in section 3.2 (nature and content of assessments) have been made without substantive changes.
- A number of points of interest have been repositioned in the ASR and two points of interest have been added:
    - EA TMB resolution regarding ISO/IEC 17029 as evaluation method under Chapter 4 for schemes used within the Renewable Energy Directive.
    - Addition of H4.1 explaining the assessment of RvA regarding the use of non-accredited in-house activities.
    - Addition of H4.2 explaining the transfer of certificates

Annex A Documents to be provided

Documents to be provided EN-ISO/IEC 17065	Initial assessment	Extension	Surveillance	Reassessment	Witnessing
1. Completed RvA application form for accreditation (F001a)	√				
2. Completed RvA application form for scope extensions and/or scope adjustments (F105)		√			
3. Completed RvA supplementary application form product certification (F006-1)	√	√			
4. Proof of registration with the Chamber of Commerce (not older than 6 months);	√	√		√	
5. An organizational chart and description of your organizational structure;	√	√			
6. Quality manual and general management system procedures;	√	√	√	√	
7. A cross-reference table establishing the relationship between the requirements of EN-ISO/IEC 17065 and your quality system;	√	√	√	√	
8. A cross-reference between the requirements of the certification scheme (scheme, legislation, regulation) and your management system. This concerns the requirements for the certification body and the performing of certification.	√	√			
9. Report(s) of recent internal audit(s) (not older than 6 months)	√	√			
10. Report of the most recent management review (not older than 6 months)	√	√			
11. The applicable normative documents and methods, together with the corresponding working instructions	√	√	√	√	√
12. General procedures developed or adapted (and not included in manual)	√	√			
13. Competence requirements and qualification procedure	√	√			
14. Example of certification report	√	√			
15. Self-assessment of the scheme, as explained in ASR007 if applicable for the new activities. If considered not applicable, please indicate this.	√	√			
16. In the case of an external schema owner : Self-assessment of the scheme, as explained in ASR007 in combination with an application for scheme evaluation (F207) If the specific version of the scheme for which accreditation is applied for is included in the list of schemes for which the RvA can grant accreditation (see RvA-BR010 list), a new application for schema evaluation is not necessary.	√	√			
17. Overview of certificates for each scheme and sub scopes	√	√	√	√	

18. List of inspectors/auditors/verifier (evaluation personnel) for each scheme and sub scopes	√	√	√	√	
19. Adapted Chapter 1 and relevant Annexes of the Part A Report for this accreditation	√	√	√	√	
20. Certification scheme (normative document, all documents that are part of the scheme applied by the CB)	√	√			√
21. Assessment (plan), including location, duration and contact name (auditee)					√
22. Qualifications of inspector/auditor/verifier					√
23. Forms used by the CAB for execution of the activity					√
24. Previous report (if applicable)					√
25. Instruction/rules for use of marks and/or logo's					√

Annex B: Field of activities

Conformity assessment activities for which accreditation can be requested from the RvA.

Activities marked with (NL) are only accredited by bodies established in the Netherlands.

If the RvA no longer has active accreditations in a field of activity, the field of activity is considered inactive.

1. Certification of products (including services and processes) as referred to in EN-ISO/IEC 17065

FIELDS OF ACTIVITY

Agriculture, forestry, ornamental plant cultivation, cattle breeding and cattle feeds and including sustainability and animal welfare schemes;
Wood, wood processing and wood products and including sustainability requirements;
Food and ingredients for the food industry and including sustainability requirements;
Machinery, instruments, (pressure) equipment, (electrical) appliances, installations and equipment, tools;
Vehicles;
Vertical and horizontal transport such as lifts, hoisting and lifting equipment, foundation machinery and cranes;
Consumer products including services to consumers;
Metal, metal processing and metal products;
Building materials, structures, soil, waste products, archaeology;
Financial services(NL);
Health care services(NL).

European Directives and Regulations(NL): As stipulated in Annex 2 of ASR006 as far the preferred standard is EN-ISO/IEC 17065

European Directive (NL): Marine Equipment (Modules B, D, E, F and G) 2014/90/EU;
Interoperability of the rail system 2016/797/EU;

European Regulations(NL):

- Regulation on organic production and labelling of organic products 2018/848/EU;
- Regulation on authorising certain products and substances for use in organic production and establishing their lists 2021/1165/EU;
- Regulation on electronic identification and trust services for electronic transactions in the internal market 910/2014/EU.

Annex C: Examples of non conformities of type A

Certification bodies

a) The body cannot demonstrate that the evaluation personnel (as auditor, inspector, verifier) is competent.
b) The team's observations raise doubts about the impartiality or independence of the body (for example, in the case of demonstrable mixing of certification and consultancy or demonstrable dependence on a consultancy organisation).
c) Inconsistencies are observed in audits or decisions, et cetera.
d) The body has wrongly provided a certificate; there were still some non-conformities not yet closed.
e) During an audit essential observations are missed or observations are rated incorrectly, in such a way that the CAB has made or would make an incorrect decision.
f) In one or more files so many of the records required are lacking that it is no longer possible to see that a reliable certification decision has been made at this client or these clients.
g) The accreditation mark (or other communication) is used in a way that suggests that the body is accredited for an activity where this is not the case.