

## TPS 65

Edition 3 January 2023

# **UKAS policy on issuance of accredited and non-accredited certificates by accredited Certification Bodies**

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## Changes since last edition

This publication has been updated to reflect the current situation and to incorporate all of the IAF decisions and resolutions to now include product and persons certification.

### 1. Introduction

- 1.1 The following four resolutions have been issued by the International Accreditation Form (IAF) at various annual meetings:

#### **IAF Resolution 2015-14:**

**The General Assembly, acting on the recommendation of the Technical Committee, resolved that IAF Accreditation Body members shall have legally enforceable arrangements with their accredited Conformity Assessment Bodies (CABs) that prevent the CAB from issuing non-accredited management systems certificates in scopes for which they are accredited.**

*The resolution is the result of a need to remove confusion in the marketplace between accredited and non-accredited certificates. If a certificate is issued without accreditation indicated, the end user could still look at the accreditation schedule on the National Accreditation Body's website, see from this that the CAB holds the accreditation concerned, and make an assumption that therefore the certificate is covered by accreditation.*

**IAF Resolution 2016-17 – (Agenda Item 9) Accredited MS Certification Document - Further to Resolution 2015-14:**

**The General Assembly, acting on the recommendation of the Technical Committee, resolved that in order for a management system certification document to be considered accredited, it must display the accreditation symbol, and/or, reference the accreditation status of the Certification Body (CB) including the identification of the Accreditation Body (AB).**

The General Assembly further agreed that management systems certification bodies:

1. must transition certification documentation to include the accreditation symbol, and/or, reference the accreditation status of the CB including the identification of the AB, at the time of recertification decision; no later than 06 November 2019;
2. when granted initial accreditation (for a standard or scope), as of 06 November 2016, the CB must transition (re-issue) previous unaccredited certification documents, within one year after the accreditation decision;
3. must apply this resolution to all management system standards.

**Note:** If there is an exception to the above, the client must justify the exception to the CB and AB, and if accepted by both the CB and AB, the certification is still considered accredited.

**IAF Resolution 2017-19**

**The General Assembly acting on the recommendation of the Technical Committee resolved that IAF Accreditation Body members shall have legally enforceable arrangements with their accredited CABs for personnel certification that prevents the CAB from issuing non-accredited persons certificates in scopes for which they are accredited.**

The enforceable arrangements shall require full implementation within three years from 30 October 2017.

Additionally, CABs for personnel certification shall transition certification documentation to include the accreditation symbol and/or shall make reference to the accreditation status of the CAB including the identification of the AB, at the time of recertification decision; no later than 30 October 2020.

When granted initial accreditation (for ISO/IEC 17024), after 30 October 2017, a CAB shall transition (re-issue) previous unaccredited certification documents and/or make reference to the accreditation status including identification of the AB, within one year of the accreditation decision.

**Note:** If there is an exception to the above, the CAB must justify the exception to the AB, and if accepted by the AB, the certification is still considered accredited.

### IAF Resolution 2018-13

**Non-Accredited Product Certification where the CAB is accredited for the same scope - The General Assembly acting on the recommendation of the Technical Committee resolved that IAF Accreditation Body members shall have legally enforceable arrangements with their accredited CABs for product certification that prevents the CAB from issuing non-accredited product certification in scopes for which they are accredited. The enforceable arrangements shall require full implementation within three years from 31 October 2018.**

Additionally, CABs for product certification must transition certification documentation to include the accreditation symbol and/or must make reference to the accreditation status of the CAB, including the identification of the AB, no later than 31 October 2021.

Note: If there is an exception to the above, the CAB must justify the exception to the AB, and if accepted by the AB, the certification is still considered accredited.”

- 1.2 This Technical Policy Statement has been produced in response to these IAF resolutions and specifies the UKAS policy and rules for their implementation.
- 1.3 This Technical Policy Statement is applicable to all UKAS accredited Management Systems, Persons and Product Certification Bodies, and refers to all Management System standards covered by accreditation to ISO/IEC 17021-1<sup>[1]</sup> and accredited certification activity under ISO/IEC 17024<sup>[2]</sup> and ISO/IEC 17065<sup>[3]</sup>.
- 1.4 For the purposes of this publication, certificate means the certification document issued by the Certification Body to its certified client, relating to the certified Management System, Person, Product, Process or Service.

## 2. Requirements

- 2.1 As specified in the IAF resolution, CBs shall not issue any non-accredited certificates in the scopes for which they hold UKAS accreditation and, further to this, all certificates covered by accreditation must include the UKAS symbol or reference to UKAS Accreditation.
- 2.2 The scope of accreditation is defined for each CB within its schedule of accreditation as published on the UKAS website ([www.ukas.com](http://www.ukas.com)). For Management Systems this encompasses the areas of specified competence, as presented in 'IAF codes', and for Persons and Product Certification this is presented in the form of Schemes. Therefore, if accreditation covers the appropriate scope, then the certification must be clearly issued as accredited: In such circumstance non-accredited certificates cannot be issued.
- 2.3 Where accreditation only covers part of an IAF scope (i.e. limited scope) then the CB can issue non-accredited certificates for activities falling outside of the limitation.
- 2.4 Non-accredited certificates can be issued for new scope areas where the CB is working towards accreditation. However, once the accreditation is granted, the CB is required to issue a transfer plan within 30 days covering all affected certificates and take appropriate action to transfer the previously issued non-accredited certificates to accredited ones within 90 days of the issuance of the plan. These actions may require the CB to carry out a review and additional validation activities of each certificate before confirming its accredited status.



- 2.5 CBs should also refer to, and must comply with, UKAS publication **GEN 6** *Reference to accreditation and multilateral recognition signatory status by UKAS accredited bodies*<sup>[4]</sup>.
- 2.6 In accordance with an IAF Technical Committee decision from October 2019, where geographical restrictions are included in the accreditation, CBs are permitted to issue non-accredited certificates in geographical areas (countries/regions) not included in the scope of accreditation.
- 2.7 In the case of IAF Resolution 2018-13 on Product Certification under ISO/IEC 17065, the term Product also includes Process and Service.

### 3. Transitions

- 3.1 When transitioning between two versions of a standard, the responsibilities placed upon certification bodies within IAF Publication PR 7 - *Requirements for Producing IAF Mandatory Documents on Transitions* apply<sup>[5]</sup>.

### 4. Implementation

- 4.1 The implementation date of the policies covered within this TPS publication were specified in the individual resolutions: With the deadlines now having passed, the policies should all now be fully implemented.
- 4.2 Compliance with the requirements of this TPS, and of the IAF resolutions, will be monitored during normal UKAS surveillance and reassessment activities.

### 5. Queries

- 5.1 Any queries regarding this policy should be addressed to the enquirers' appointed Assessment Manager where relevant or to the UKAS Technical Manager - International, Kevin Belson ([kevin.belson@ukas.com](mailto:kevin.belson@ukas.com)) or the Accreditation Specialist – Management Systems Certification and Verification, Paul Phyll ([paul.phyll@ukas.com](mailto:paul.phyll@ukas.com)).

### 6. References

- [1] ISO/IEC 17021-1:2015 Conformity assessment - Requirements for bodies providing audit and certification of management systems - Part 1: Requirements
- [2] ISO/IEC 17024:2012 Conformity assessment - General requirements for bodies operating certification of persons
- [3] ISO/IEC 17065:2012 Conformity assessment - Requirements for bodies certifying products, processes and services
- [4] UKAS GEN 6 Reference to accreditation and multilateral recognition signatory status by UKAS accredited bodies
- [5] IAF PR7: 2022 Requirements for Producing IAF Mandatory Documents on Transitions