

LATAK - D.17021-1-S2/04/02.2024

Management system certification institutions accreditation scheme

Table of Content

I Criteria for Accreditation	2
II Structure of the Scope of Accreditation	4
III Documents to be Submitted	4
IV Assessment and accreditation procedure of the certification institutions	4
V Surveillance procedure and decision-making of the certification institutions	5
VI Performance Witnessing Policy	5
VII Status of a Notified Body	5
VIII Exchange of Information	5
Register of Changes	6

Copyright and basic principles:

The updated version of LATAK document is available on the official website www.latak.gov.lv. The application of the documents published by LATAK is mandatory for the LATAK staff, involved assessors and experts, as well as those conformity assessment bodies accredited by LATAK.

This document may be translated into other languages. The text in Latvian shall be considered the base text.

Further information:

For further information on LATAK documents, please contact the LATAK office. Reproduction of this document for resale is prohibited.

I Criteria for Accreditation

- Regulation (EC) No 765/2008 of the European Parliament and of the Council of 9 July 2008 setting out the requirements for accreditation and market surveillance relating to the marketing of products and repealing Regulation (EEC) No 339/93
- Law on Conformity Assessment
- Cabinet of Ministers Regulations No. 754 “Regulations Regarding the Assessment, Accreditation, and Supervision of Conformity Assessment Bodies” of 19 December 2023 (hereinafter - Rules No. 754)
- Cabinet of Ministers Regulations No. 666 “Pricelist of Paid Services of the State Agency “Latvian National Accreditation Bureau”” of 25 October 2022
- Cabinet Regulation No. 1376 “Procedures by which a Notification Committee is established and the Notification Committee Makes a Decision and Notifies the European Commission of conformity assessment bodies providing assessment in a regulated area” of 3 December 2013
- LVS ISO/IEC 17021-1:2015 – Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements (ISO/IEC 17021-1:2015) (hereinafter – Standard)
- LVS ISO/TS 22003:2014 – Food safety management systems — Requirements for bodies providing audit and certification of food safety management systems
- LVS ISO 22003-1:2023 Food safety — Part 1: Requirements for bodies providing audit and certification of food safety management systems
- LVS EN ISO 22301:2020 Security and resilience -- Business continuity management systems – Requirements
- LVS EN ISO/IEC 27006:2021 – Requirements for bodies providing audit and certification of information security management systems (ISO/IEC 27006:2015/ Amd 1:2020).
- LVS ISO 50003:2023 Energy management systems — Requirements for bodies providing audit and certification of energy management systems (ISO 50003:2021)
- ISO/IEC 20000-6:2017 Information technology – Service management – Part 6: Requirements for bodies providing audit and certification of service management systems
- LVS ISO/IEC 17021-2:2019 – Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 2: Competence requirements for auditing and certification of environmental management systems (ISO/IEC 17021-2:2016)
- LVS EN ISO/IEC 17021-3:2019 – Conformity assessment - Requirements for bodies providing audit and certification of management systems - Part 3: Competence requirements for auditing and certification of quality management systems (ISO/IEC 17021-3:2017)
- ISO/IEC TS 17021-6:2014 “Conformity assessment Requirements for bodies providing audit and certification of management systems”;
- ISO/IEC TS 17021-9:2016 Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 9: Competence requirements for auditing and certification of anti-bribery management systems.
- ISO/IEC TS 17021-10:2018 Conformity assessment Requirements for bodies providing audit and certification of management systems Part 10: Competence requirements for auditing and certification of occupational health and safety management systems.
- EA-2/17 M:2020 EA Document on Accreditation for Notification Purposes.
- EA-6/02 M:2022 EA Guidelines on the use of ISO/IEC 17065 and ISO/IEC 17021 for Certification to EN ISO 3834.

- EA-7/04 M:2017 Legal Compliance as a part of accredited ISO 14001:2015 certification.
- EA-1/22 A-AB:2020 EA Procedure and Criteria for the Evaluation of Conformity Assessment Schemes by EA Accreditation Body Members.
- IAF MD1:2023 “IAF Mandatory Document for the Audit and Certification of a Management System Operated by a Multi-Site Organization”
- IAF MD2:2023 “IAF Mandatory Document for the Transfer of Accredited Certification of Management Systems”
- IAF MD4:2023 “IAF mandatory document for the use of information and communication technology (ICT) for auditing/assessment purpose”
- IAF MD5:2023 “Determination of audit time of quality, environmental, and occupational health & safety management systems”
- IAF MD9:2023 “Application of ISO/IEC 17021-1 in the Field of Medical Device Quality Management Systems (ISO 13485)”
- IAF MD 12:2023 “Accreditation Assessment of Conformity Assessment Bodies with Activities in Multiple Countries”
- IAF MD15:2023 “IAF Mandatory Document for the Collection of Data to Provide Indicators of Management System Certification Bodies' Performance”
- IAF MD16:2023 “Application of ISO/IEC 17011 for the Accreditation of Food Safety Management Systems (FSMS) Certification Bodies”
- IAF MD17:2023 “Witnessing Activities for the Accreditation of Management Systems Certification Bodies”
- IAF MD22:2023 “Application of ISO/IEC 17021-1 for the Certification of Occupational Health and Safety Management Systems (OH&SMS)”
- IAF MD23:2023 “Control of Entities Operating on Behalf of Accredited Management Systems Certification Bodies”
- IAF MD25:2023 “Criteria for evaluation of conformity assessment schemes”
- IAF MD28:2023 “IAF Mandatory Document for the Upload and Maintenance of Data on IAF Database”
- LATAK-D.008 – Accreditation Procedures.
- LATAK-D.011 – Regulations on the Use of the National Accreditation Mark and the Reference to Accreditation and EA MLA.
- LATAK-D.019 – LATAK Regulations on the Selection of Technical Fields for the Witnessing of the Performance by Bodies Providing Certification of Managements Systems and EMAS Accredited Environmental Verifiers.

Management systems are constantly updated and new ones are developed. Also, accreditation systems not mentioned in this list can be accredited. Through the extension of this accreditation scheme to cover other management systems, also the criteria for accreditation are complemented. In order to take on a new scope, close collaboration with the conformity assessment body and other stakeholders is ensured. In case of updating the existing standards for management systems, the transitional provisions shall be laid down by the International Accreditation Forum (IAF). If necessary, the state agency "Latvian National Accreditation Bureau" (hereinafter - LATAK) provides additional specified conditions.

II Structure of the Scope of Accreditation

There is an Application Form (F.003) available on the website of the LATAK www.latak.gov.lv, which includes information on the scope of accreditation applied for (Annex 7 to the Form). The structure of the scope of accreditation is as follows:

- Column 1: Object to be certified.
- Column 2: Technical scope, e.g., technical scopes pursuant to IAF ID1 or the scope of food safety pursuant to ISO 22003-1, etc.

- Column 3: Remarks (if necessary), e.g., clarifications of the technical scope pursuant to NACE 2 rev.

Accreditation certificates of accredited management systems certification institutions, including accreditation scope, are published on the LATAK website www.latak.gov.lv .

III Documents to be submitted

Management systems certification institution shall submit to LATAK the necessary documents to **commence the accreditation process** (specified in Form F.002.S2), as indicated on the website of LATAK: www.latak.gov.lv for Management systems certification institutions, as well as duly completed forms:

- F.003 – Application (including Annex 7).
- F.003.S2 – Information on the management systems certification institution.

For the purposes of surveillance, after obtaining the accreditation, the management systems certification institution shall submit the following duly completed forms and the necessary documents prior to the monitoring:

- F.003 – Application, including Annex 7 thereto (Scope of Accreditation), if the scope of accreditation has been amended, together with the application for narrowing down or expanding the scope;
- F.020.S2 – Information on the management systems certification institution;
- Management report of the certification institution for the reporting period;
- Relevant certification schemes;
- changes made to the management system documentation (current management system manual or updated parts of it);
- list of documents of the certification institution management system.

Upon concluding the accreditation cycle (five years), the management systems certification institutions shall, 4 (four) months prior to the end of the accreditation cycle, submit completed Form F.003 – Application, including Annex 7 thereto (Scope of Accreditation) to LATAK, **in order to carry out the reassessment process**.

Prior to implementation of the process of re-accreditation, the Institution shall, in addition to the documents mentioned above, submit documents necessary for implementation of the assessment process, which are the same as asked before a surveillance visit.

More detailed procedure of submission and examination of documents is specified in LATAK-D.008 document “Accreditation procedures”, which is available on the website of LATAK www.latak.gov.lv.

IV Assessment and accreditation procedure of the certification institutions

According to Rules No. 754 paragraph 10, LATAK concludes the contract and starts the evaluation process of the certification institution after receiving all the necessary documents.

After receiving all the necessary documents and payment for the relevant evaluation procedure according to the contract, LATAK starts the evaluation process of the certification institution. The initial assessment assesses the compliance of the management systems certification institution with the requirements of the Standard and the documents set by the applicable international and European accreditation organizations, the compliance of the regulatory sphere with the Standard and the relevant regulatory requirements of the relevant field at the location/s of the certification institution (on-site visit). Initial assessment of the certification institution

also includes evaluation of the certification activity (witness audit) in accordance with the requirements of the specific practical certification scheme.

After the assessment of the Institution, an accreditation decision is made in accordance with Rules No. 754, point 19 and document LATAK-D.008 "Accreditation Procedures" for the procedure.

V Surveillance procedure and decision-making of the certification institutions

For the surveillance process of the accredited management system certification institutions, in accordance with Rules No. 754 For point 12, an evaluation program of the certification institution is developed for the entire accreditation cycle (form F.057 – evaluation of practical activity; form F.047 – evaluation of the management system). As part of the accreditation cycle, LATAK evaluates the compliance of the certification institution with the requirements of the Standard or the regulated sphere, the Standard and the field-specific regulatory framework in all accreditation scope.

Within the framework of the accreditation cycle, the compliance of the management system certification institution's practical activities with the requirements of the Standard, in the regulated sphere, compliance with the Standard and the specific regulatory framework of the field is evaluated. Surveillance evaluations are carried out once every 12 (twelve) months. The periodicity of monitoring of accredited certification bodies can be extended up to 18 (eighteen) months, based on the performed risk assessment.

The procedure for making a decision on the results of the certification institutions surveillance is defined in the document LATAK-D.008 "Accreditation procedures", available at www.latak.gov.lv.

VI Performance Witnessing Policy

During the initial assessment, the certification institution shall be able to demonstrate to the LATAK assessment team the performed certification activities applied for accreditation. The LATAK policy for performance demonstration is established in the document LATAK D.019. For individual certification schemes, e.g., ISO 22000, the certification body shall demonstrate the stage 1 and stage 2 audit. LATAK develops a practical action demonstration plan (form F.057) for each management systems certification institution, the execution of which is carried out in accordance with the requirements of IAF MD17 and/or other IAF documents and standards.

VII Status of a Notified Body

If the certification institution applies for the status of a notified body or already operates as a notified body, LATAK shall evaluate its compliance with the field-specific regulatory requirements and the requirements laid down in the document EA-2/17 M:2020.

VIII Exchange of Information

The accredited certification institution shall, by 31 January each year, submit to LATAK the information on the certified management systems and activities of the certification institution, completing the Form F.069 – Management systems certification bodies questionnaire (available

on the LATAK website). This information shall be used to plan the activities for the surveillance of the certification institution.

Register of Changes

Version	Content of changes	Date
01	New document.	26.07. 2021
02	Clause III: The only reference to EA-2/17:2020 EA “Document on Accreditation for Notification purposes” is remained.	04.04.2022.
03	Clause I supplemented with a reference to LVS EN ISO 22301:2020; ISO/IEC TS 17021-6:2014; Clause I updated information on document EA-6/02 M:2022; IAF MD4:2022 version	12.07.2022.
04	Reference is made to Rules No. 754 and Rules No. 666; clarified the applicable standards, documents, created in Section V – Surveillance procedure and decision-making of the certification institutions; deleted section - List of documents	29.02.2024.