

LATAK - D.17021-1-S2/02/04.2022

Accreditation Scheme for the Compliance Assessment of Bodies Providing Certification of Management Systems

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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 Regulation No. 673 “Regulations on the Assessment, Accreditation and Monitoring of Conformity Assessment Bodies” of 17 December 2019.
- Cabinet Regulation No. 114 “Pricelist of the Fee-Based Services Provided by the State Agency “Latvian National Accreditation Bureau”” of 27 February 2018.
- 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 EN ISO/IEC 27006:2021 – Requirements for bodies providing audit and certification of information security management systems (ISO/IEC 27006:2015/ Amd 1:2020).
- ISO 50003:2021 Energy management systems — Requirements for bodies providing audit and certification of energy management systems.
- 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 17021-9:2016 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:2013 EA Guidelines on the Use of EN 45011 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: 2018 “Audit and Certification of a Management System Operated by a Multi-Site Organization”.
- IAF MD2:2017 “IAF Mandatory Document for the Transfer of Accredited Certification of Management Systems”.

- IAF MD4:2018 “Use of information and Communication Technology (ICT) for auditing/assessment purposes”.
- IAF MD5:2018 “Determination of audit time of quality, environmental, and occupational health & safety management systems”.
- IAF MD9:2017 “Application of ISO/IEC 17021 in Medical Devices QMS (ISO 13485)”.
- IAF MD15:2014 “IAF Mandatory Document for the Collection of Data to Provide Indicators of Management System Certification Bodies' Performance”.
- IAF MD17:2019 Witnessing Activities for the Accreditation of Management Systems Certification Bodies.
- IAF MD22:2019 Application of ISO/IEC 17021-1 for the Certification of Occupational Health and Safety Management Systems (OH&SMS).
- IAF MD23:2018 Control of Entities Operating on Behalf of Accredited Management Systems Certification Bodies.
- 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). LATAK shall provide further clarified provisions, if necessary.

II Structure of the Scope of Accreditation

There is an Application Form (F.001) available on the website of the State Agency “Latvian National Accreditation Bureau” (hereinafter – 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, etc.
- Column 3: Remarks (if necessary), e.g., clarifications of the technical scope pursuant to NACE 2 rev.

The scopes of accreditation of the accredited bodies providing certification of management systems shall be published on the website of LATAK: www.latak.gov.lv.

III Documents to be Submitted

The body providing certification of management systems shall submit to LATAK the necessary documents to **commence the accreditation process** (Form F.002.S2), as indicated on the website of LATAK: www.latak.gov.lv for bodies providing certification of management systems, as well as duly completed forms:

- F.001 – Application (including Annex 7).
- F.003.S2 – Information on the Body Providing Certification of Management Systems.

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

- F.001 – 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 Body Providing Certification of Management Systems;
- summary of the internal audits conducted;
- documented management report on the previous period;
- relevant certification schemes;
- management system manual;
- list of management system documents of the certification body.

Upon concluding the accreditation cycle (five years), the body providing certification of management systems shall, 4 (four) months prior to the end of the accreditation cycle, submit a duly completed Form F.001 – Application, including Annex 7 thereto (Scope of Accreditation) to LATAK, **in order to carry out the reassessment process.**

In addition to the aforementioned documents, the body providing certification of management systems shall submit the following documents prior to the reassessment process:

- summary of the internal audits conducted;
- documented management report on the previous period;
- relevant certification schemes;
- management system manual;
- list of management system documents of the certification body.

For more information on the procedure of submitting and examining the documentation, see the document LATAK-D.008 – Accreditation Procedures, available on the LATAK website: www.latak.gov.lv.

IV LATAK Assessment Procedure

Pursuant to Paragraphs 9 and 12 of Cabinet Regulation No. 673 “Regulations on the Assessment, Accreditation and Monitoring of Conformity Assessment Bodies” of 17 December 2019 (hereinafter – Regulation No. 673), LATAK shall conclude an agreement and commence the process for the assessment of the body providing certification of management systems, after receiving all necessary documents.

During the preliminary assessment, the compliance of the body providing certification of management systems with the requirements laid down in the Standard, but in the regulated area – the compliance with the requirements laid down in the Standard and the field-specific regulatory framework shall be evaluated.

Within the accreditation cycle, the compliance of the management system and performance of the body providing certification of management systems with the requirements laid down in the Standard, but in the regulated area – the compliance with the requirements laid down in the Standard and the field-specific regulatory framework shall be evaluated. The surveillance assessments shall be carried out once every 12 (twelve) months. As part of the surveillance, the assessment shall be carried out and the performance shall be witnessed at the office of the body providing certification of management systems, if necessary.

V Performance Witnessing Policy

During the preliminary assessment, the body providing certification of management systems 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 shall set up a Performance Demonstration Plan (Form F.057) for each body providing certification of management systems, provided that all scopes of accreditation of the certification body are assessed during the accreditation cycle (Paragraph 18 of Cabinet Regulation No. 673).

VI Status of a Notified Body

If the body providing certification of management systems 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.

VII Exchange of Information

The accredited bodies providing certification of management systems shall, by 31 January each year, submit to LATAK the information on the certified management systems and activities of the body, completing the Form F.069 – Questionnaire for the Bodies Providing Certification of Management Systems (available on the LATAK website). This information shall be used to plan the activities for the monitoring of the body providing certification of management systems.

List of Documents

- 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).
- EA-2/17 M:2020 EA Document on Accreditation for Notification Purposes.
- EA-6/02 M: 2013 EA Guidelines on the Use of EN 45011 and ISO/IEC 17021 for certification to ISO 3834.
- 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 17021-9:2016 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-1/22 A-AB: 2020 EA Procedure and Criteria for the Evaluation of Conformity Assessment Schemes by EA Accreditation Body Members.

- LATAK-D.008 – Accreditation Procedures.
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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.