# Product Certification Accreditation Procedure

This document outlines PJLA's (Perry Johnson Laboratory Accreditation, Inc.) specific requirements and procedures for accrediting Certification Bodies (CBs) under ISO/IEC 17065, which pertains to bodies certifying products, processes, and services. **This is a Supplemental Procedure to PJLA's Accreditation Procedure (SOP-1). Both procedures shall be followed for the entirety of this accreditation program.**

## 1.0 SCOPE/PURPOSE

1.1 PJLA's product certification accreditation program is based on ISO/IEC 17065:2012, "Conformity assessment — Requirements for bodies certifying products, processes and services", relevant IAF mandatory documents, SOP-1 General Accreditation Procedure, PJLA PL-4 Scopes of Accreditation Policy, PJLA SOP-3 Use of Accreditation Claims and Symbols, ISO/IEC 17011:2017 and applicable product schemes.

## 2.0 REFERENCES

2.1 ISO/IEC 17065:2012, "Conformity assessment — Requirements for bodies certifying products, processes and services"
2.2 International Standard ISO/IEC 17011:2017 "Conformity assessment – General requirements for accreditation bodies accrediting conformity assessment bodies"
2.3 IAF MD 4 "Mandatory Document for the Use of Information and Communication Technology (ICT) for Auditing/Assessment Purposes"
2.4 IAF MD 7 "Mandatory Document for the Harmonization of Sanctions and Dealing with Fraudulent Behavior"
2.5 IAF MD 25 "Criteria for Evaluation of Conformity Assessment Schemes"
2.6 IAF MD 12 "Accreditation Assessment of Conformity Assessment Bodies with Activities in Multiple Countries"
2.7 Specific Scheme Related Requirements

## 3.0 APPLICATION FOR ASSESSMENT

3.1 During this process, PJLA will evaluate the application and ensure that the scheme is suitable in accordance with PJLA SOP-1-Product and IAF MD 25. The following information will be requested from the Certification Body (CB) through the application process (LF-1) (LF-61) and (LF-21 Supplement 17065):

3.1.1 Types of Certification-Process, Product, or Service or a combination of various types.
3.1.2 Certification Schemes.
3.1.3 Applicable Standards, Normative Documents, and/or Regulatory Requirements.
3.1.4 Details (location, conformity assessment activity, number of personnel) of fixed sites and remote personnel supporting the certification.

3.2 Upon reviewing applicant's Certification Scheme, the following items shall be considered:

3.2.1 They are based on national and/or internationally recognized principles of conformity assessment (e.g., ISO/IEC 17000 series, ISO/CASCO documents).

3.2.2 They demonstrate consensus-based development, preferably through recognized standards organizations (ISO, IEC, ASTM, etc.).

3.2.3 They contain clear, auditable, and technically valid requirements.

3.2.4 They support competence, impartiality, and consistency in conformity assessment activities.

3.2.5 They do not contradict or exclude requirements of relevant international standards or obligations under international arrangements (e.g. IAF, APAC).

3.3 Conformity assessment activities will be requested through the LF-21 Supplement 17065 Form to gather the following data:

**LF-21 Supplement 17025 Part A**

3.3.1 Countries into which accredited certificates are issued and the number of certificates issued in each country.

3.3.2 Countries in which the CB operates from a fixed office location that performs any certification activities.

3.3.3 Countries in which the CB has remote personnel that perform any certification activities.

3.3.4 Fixed office locations responsible for performing and/or managing key activities as defined by the following, or from where remote personnel performing critical activities are managed:

a) Policy formulation
b) Process and/or procedure development
c) Initial approval of certification body personnel and/or control of their training
d) Ongoing monitoring of certification body personnel
e) Application review
f) Assignment of auditing personnel
g) Control of surveillance or recertification audits
h) Final report review or certification decision or approval

**LF-21 Supplement 17065 Part B**

3.3.5 A general description of the Scheme including supporting documents, criteria and process to be used.

3.3.6 CB's agreement with the Scheme Owner (SO), if applicable.

3.3.7 Scheme Validation Details:

3.3.7.1 The description of the purpose of the Scheme.
3.3.7.2 The description of the requirements of the Scheme.
3.3.7.3 The analysis of the appropriateness of the established requirements for fulfilling the defined purpose of the Scheme.
3.3.7.4 The description of the methods used for determining fulfilment of the requirements.
3.3.7.5 The analysis showing that the described methods to be used for determining fulfilment of the requirements are appropriate.
3.3.7.6 The decision on the conformity assessment activity to be used (including identification of the applicable conformity assessment standard).
3.3.7.7 The analysis showing that the selected conformity assessment activity is appropriate.
3.3.7.8 Details on how the Scheme was validated (e.g. through pilot audits or by demonstrating that the scheme is based on available international or national methods/standards or other methods).

3.3.8 The above validation criteria will not be needed if the Scheme is:

3.3.8.1 Invoked by legislation/regulation.
3.3.8.2 Developed by national, regional or international standardization bodies.
3.3.8.3 Endorsed by IAF.

3.3.9 Procedure for dealing with complaints relating to the Scheme.

3.3.10 Provisions of the Scheme:

3.3.10.1 Selection/Sampling process of the objects to be certified.
3.3.10.2 Methods to be used for product certification.
3.3.10.3 Review, decision and attestation process.
3.3.10.4 Surveillance and recertification process, as applicable.

3.3.11 Conformity assessment functions and activities utilized in the scheme per “ISO/IEC 17067, Table 1 — Building a product certification scheme.”

3.3.12 An example product certificate or template if no certifications have been issued.

3.3.13 Terms for the use of the terms of licensing/monitoring of the certification mark for the relevant scheme.

## 4.0 ASSESSMENT PLANNING

4.1 PJLA will develop a customized assessment program with each CB, considering the risk indicators outlined below:

a) The relationship between the CB and its foreign entities and subsidiaries, if applicable.
b) The CB's arrangements for managing its foreign certification activities, if applicable.
c) Whether the CB holds accreditation from the local AB.
d) The number of fixed office locations undertaking certification activities in each country.
e) The number of remote personnel undertaking certification activities in each country.
f) Where key activities are performed and managed or from where remote personnel performing key activities are managed.
g) The range of certification activities performed, where they are performed, and from where remote personnel are managed.
h) The effectiveness of the CB's management controls of its certification activities.
i) The accessibility of the CB's records.
j) The availability of selected CB personnel (internal and external) for interview.
k) The number of certificates issued through a particular fixed office location.
l) Schemes for which certification is granted through a particular fixed office location.
m) Where a fixed office location manages other fixed office locations or remote personnel outside of their national boundaries.
n) The number of different countries covered by remote personnel and how they are managed.
o) The risks posed by the activities performed and/or managed and where they are performed and/or managed (Note: these may be non-key activities).
p) The capability of the Accreditation Body (AB) to conduct remote assessments. In that case the requirements of IAF MD 4 "Mandatory Document for the Use of Information and Communication Technology (ICT) for Auditing/Assessment Purposes" are applicable.
q) Social and cultural aspects of each country.
r) The number and type of complaints.
s) The effectiveness of the CB's oversight in controlling its foreign certification activities, including internal audits it performs on fixed office locations.
t) Where there is evidence of malpractice, such as misrepresentation by sales personnel, inappropriate relationships with consultants or ineffective oversight by the CB.

4.2 The assessment program will be reviewed annually for any changes and associated risks.

4.3 The initial assessment of the CB shall include assessment of all fixed office locations, whatever the relationship with the CB, where key activities are performed and/or managed, or from which remote personnel performing key activities are managed, and/or where records are maintained.

4.4 A CB may become accredited through demonstration/mock certification with a condition that they shall notify PJLA to witness their initial certification. The details of the assessment may vary based upon certification activities previously witnessed or the type of scheme.

4.5 No additional locations can be added to the CB's scope of accreditation without any form of assessment.

4.6 During the assessment, the assessors will assess all elements of the standard and applicable Scheme requirements as defined in IAF MD 25 including:

4.6.1. Scheme Validation Procedure, Records, Methodology.
4.6.2 Procedure and process for dealing with complaints related to the Conformity Assessment Scheme (CAS).
4.6.3 CAS elements/contents objectives, industry, requirements, assessment process, specific criteria, as applicable.
4.6.4 Method used to monitor that the certificate or attestation or statement holder continues to comply with the requirements.
4.6.5 Statement of conformity which appears on the conformity assessment documents.
4.6.6 Provisions for use of certificates, marks or other statements of conformity.
4.6.7 Any other relevant scheme elements as necessary.

4.7 Ongoing Accreditation Considerations will be taken to include the following aspects:

4.7.1 Locations performing critical activities will be assessed at least once during the accreditation cycle.
4.7.2 PJLA will identify any non-critical fixed locations that require assessment during the cycle.
4.7.3 Additional witnessing when mock assessments are performed.
4.7.4 Changes to the organizational structure (additional key locations, remote personnel).
4.7.5 Changes to the scheme.

4.8 CBs will be required to complete the LF-21 Supplement Part A annually for assessment planning purposes.

4.9 CBs requesting to change or add a new scheme will be required to submit a new application and an LF-21 Supplement 17065 Part A and B.

## 5.0 EVALUTION OF SCHEME OWNER (SO) AND CONFORMITY ASSESSMEMT SCHEMES (CAS) REQUIREMENTS

5.1 PJLA will assess only Schemes for which they have the necessary expertise and, when required, the approval of the Scheme Holder and adhere to all AB Scheme

specific requirements and Scheme Holder clarifications in addition to, but not excluding, any IAF/Region's rules nor ISO/IEC 17011 requirements.

5.2 PJLA will ensure that the following conditions are met by the SO before committing to participating in accreditation activities unless any of the conditions are not applicable to a specific CAS:

5.2.1 Sufficient evidence and justification that the conformity assessment activity and the standard selected for the accreditation of the CB is appropriate and maintained.
5.2.2 A general description of the CAS is made publicly available without request.
5.2.3 The scheme documents, including the criteria and process to be used in assessing conformity, are made publicly available.
5.2.4 The scheme has been validated.
5.2.5 A description of the purpose of the CAS.
5.2.6 A description of the requirements of the CAS.
5.2.7 An analysis of the appropriateness of the established requirements for fulfilling the defined purpose of the CAS.
5.2.8 A description of the methods to be used for determining fulfilment of the requirements.
5.2.9 An analysis showing that the described methods to be used for determining fulfilment of the requirements are appropriate.
5.2.10 The decision on the conformity assessment activity to be used (including identification of the applicable conformity assessment standard).
5.2.11 An analysis showing that the selected conformity assessment activity is appropriate.
5.2.12 Availability of information to PJLA and CBs, if the SO provides clarification on the CAS.
5.2.13 Legally enforceable agreement with PJLA and/or its CBs it authorizes which, as a minimum, ensured that the CBs use the CAS as published by the SO, without any additions or reductions, and comply with SO rules for applying the symbol/statement/mark, as applicable.
5.2.14 Procedure for dealing with complaints relating to the CAS, that ensures that the complaint processes of CBs' clients, CBs and PJLA are not affected. Investigation and decision on complaints shall not result in any discriminatory actions. The procedure will be made publicly available with or without request.
5.2.15 An arrangement describing the relationship and the terms of cooperation between the SO and PJLA. Any requirements for PJLA shall be part of the CAS and not individual arrangements.
5.2.16 If the SO monitors the CBs, a mechanism to ensure cooperation with PJLA is in place including providing feedback on the performance of CBs.
5.2.17 A periodic review of the CAS taking into account the experience gained and the feedback received from parties interested in the CAS.
5.2.18 A process to monitor the development and review of the standards and other normative documents, whether its own or external, which define the specified requirements used in the scheme.

5.2.19 A process for managing changes in the normative documents of the CAS including a process for making the necessary changes in the CAS, managing the implementation of the changes (e.g. transition period) by the CB's clients and, where necessary, other parties interested in the CAS, Notification to PJLA before implementing the changes, Validation of the changes to the CAS that affect the output of the CAS.

5.3 Conformity Assessment Scheme (CAS) Requirements

5.3.1 PJLA will ensure that the CAS meet the following criteria prior to entering into an arrangement with a Scheme Owner. CAS shall include the following elements:

a) Selection of the object(s) of conformity assessment, including selecting specified requirements to be assessed and planning information collection and sampling activities;
b) Determination, including the use of one or more determination methods (e.g. test, audit and/or examination) to develop complete information regarding fulfilment of the specified requirements by the object of conformity assessment or its sample;
c) Review, decision and attestation, including the review of evidence from the determination stage. Conclusion based on the results of the review as to whether fulfilment of specified requirements has been demonstrated and a subsequent attestation that the object of conformity assessment has been reliably demonstrated to fulfil the specified requirements, and any subsequent marking or licensing and their related controls, where applicable; and
d) Surveillance and recertification, as applicable, systematic iteration of conformity assessment activities as a basis for maintaining the validity of the statement of conformity.

5.3.2 Conformity Assessment Schemes (CAS) shall include the following:

a) The objectives of the scheme for the specific industry or user group;
b) The object of conformity assessment, e.g. product or process or person or claim;
c) The requirements against which conformity is to be assessed;
d) The conformity assessment process used in order to determine conformity of the object as defined under the scopes of ISO/IEC 17065 without any contradictions or exclusions;
e) Any specific applications or explanations of ISO/IEC 17011 (e.g. specific competence criteria for assessors/technical experts/assessment teams, assessment criteria, specific details in the assessment reports), if applicable;
f) Any specific application or explanation of accreditation standard of ISO/IEC 17065 (e.g. specific competence criteria for auditors/evaluators/inspectors/technical experts/audit teams, audit/evaluation/inspection criteria, specific details in the

audit/evaluation/inspection reports), if applicable;

g) Where applicable, the requirements in the CAS should be written in terms of results or outcomes, together with limiting values and tolerances;

h) The requirements in the CAS should be stated unambiguously using wording that is objective, logical, valid and specific and enable consistent application by organizations as well as evaluation across CBs;

i) Where the CAS includes legal requirements, these shall be formulated in such a way that compliance is a condition for outcome of conformity assessment;

j) A description of the method used to monitor that the certificate or attestation or statement holder continues to comply with the requirements, if applicable;

k) Where the SO authorization is given before accreditation, which implies that the CB can perform conformity assessment activities covered by the CAS and may have the right to use the SO's mark, a requirement that the CABs shall be accredited in a defined period of time;

l) A statement of conformity which appears on the conformity assessment documents shall be specified;

m) Where the CAS provides for the use of certificates, marks or other statements of conformity, a license and/or rules or another form of enforceable agreement to control such use. Licenses can include provisions relating to the use of the certificate, mark or other statement of conformity in communications about the object of conformity assessment, and requirements to be fulfilled when the certification is no longer valid;

n) Any specific manner by which the SO monitors CBs, beyond requiring that the CBs are accredited to the CAS requirements; and

o) Any CAS specific requirements placed on PJLA. These shall not contradict or exclude any of the requirements of ISO/IEC 17011, relevant IAF guidelines, policies and other requirements.

5.3.3 Additional requirements for SO and conformity assessments schemes may be required by PJLA.

5.3.4 PJLA shall evaluate new schemes and changes to schemes to ensure they continue to comply with the requirements of this procedure. The evaluation of the scheme may include collaboration with the SO to perform a collective evaluation or a review of another AB's evaluation results which can be performed remotely or on site. In the case PJLA provides an evaluation of a scheme, information will be provided to any other IAF MLA AB, per request, without undue delay, provided there are no confidentiality or proprietary concerns. Any discrepancies between PJLA and the other AB shall be discussed among each other, and, if necessary, with the SO and/or IAF Technical Committee.