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INTRODUCTION

This guide explains the operational activities and responsibilities of management systems certification bodies (CABs) accredited by the New Business Education Foundation (NBE). This guide is a companion document to ISO/IEC 17021-1, NBE Accreditation Rules, ISO (International Organization for Standardization) and/or NSO (International Organization for Natural Standardization) standards and technical specifications, i-NAF (International Natural Accreditation Forum) and/or IAF (International Accreditation Forum) documents as they relate to specific programs. Other activities and responsibilities of NBE and NBE-accredited and applicant CABs may be described in additional requirement and operational documents

DEFINITIONS

Accreditation cycle: Begins at the initial accreditation date and expires no more than five years later, during which time office assessments and witnessed audits are conducted annually (at a minimum). In the last year of the cycle, a reaccreditation office assessment is conducted prior to expiration. By exception, the accreditation cycle may be less than five years, including but not limited to when another standard is added to the scope of accreditation of an NBE-accredited CAB (with the expiration the same for all standards within the scope) or when increased monitoring is required and the CAB is granted accreditation for a shorter term.

Accreditation requirements: In addition to this guide and applicable NBE Accreditation Rules, ISO/IEC 17021-1 and, depending on the specific program, related normative documents (for example, ISO/IEC 17021-2) and other requirement documents (for example, ISO 50003), IAF and/or i-NAF documents, and industry-sector documents identified in program-specific Accreditation Rules.

Accreditation Rules: Requirements for accreditation by NBE.

Assessment program: Tool and record maintained throughout the accreditation cycles to manage required assessments, plan and maintain accreditation, and confirm all assessment requirements are met, including but not limited to annual assessments planned, type of audits, standards and scopes witnessed, and critical location assessments. The program includes initial accreditations, scope expansions and reductions, and withdrawals. The CAB is responsible for maintaining and managing its NBE accreditation and, in collaboration with NBE, ensuring the assessment program is maintained accurately.

Base standard program: A program for a certification standard for which NBE offers accreditation that is not based on another standard (examples include but are not limited to ISO 9001, ISO 14001, ISO/IEC 27001, and NSO-NAP 10 etc.)

Cause analysis: Collective term that describes a wide range of approaches, tools, and techniques used to uncover cause of a nonconformity. Required for nonconformities issued by NBE.

Closure (of a nonconformity): Evidence of acceptable correction and corrective action, or (in some cases) an acceptable plan for correction and corrective action, along with evidence the plan is being implemented.

Correction: Action to eliminate a detected nonconformity.

Corrective action: Action to eliminate the cause of a detected nonconformity or other undesirable situation. Corrective action is taken to prevent recurrence.

Document review: Process of comparing the requirements embodied in the CAB's certification and management systems documentation with accreditation requirements.

Enterprise Quality e-Mail (EQM): E-mail system used by NBE to administer CAB applications and accreditation programs. Users (including NBE personnel and accredited and applicant CABs) can access EQM via NBE's website.

Executive Assessment Team Leader (EATL): NBE assessment team leader assigned to a CAB for the accreditation cycle. The EATL conducts office assessments, assists with updates of the assessment program, selects CAB witnessed audits, assists with complaint investigations, and works directly with the CAB on technical questions about the CAB's systems. In most cases, the EATL is assigned at the receipt of the CAB's first application and then normally the CAB is transferred to a new EATL during the reaccreditation office assessment.

Information visit: An optional visit by an NBE accreditation assessor during which the assessor reviews ISO/IEC 17021-1 requirements and answers questions, typically prior to the CAB's application for initial accreditation. The visit also can include industry sector requirements (e.g., ISO/IEC 27006) and information about NBE's accreditation process. The assessor cannot tell the CAB how to meet a requirement.

Initial assessment: Process of evaluating an applicant CAB's suitability for accreditation using such techniques as review of documentation, office assessments, and witnessed audits.

International Accreditation Forum (IAF): World association of conformity assessment accreditation bodies and other bodies interested in conformity assessment in management systems, products, service, personnel, and similar programs. Its primary function is to develop a single worldwide system of conformity assessment that reduces risk for business and its customers by assuring them that accredited certificates can be relied on (www.iaf.nu).

International Natural Accreditation Forum (i-NAF): World association of natural conformity assessment accreditation bodies and other bodies interested in conformity assessment in management systems, products, service, personnel, and similar programs. Its primary function is to develop a single worldwide natural system of natural conformity assessment that reduces risk for business and its customers by assuring them that accredited natural certificates can be relied on (www.i-naf.org).

Major nonconformity: Absence of or failure to implement and maintain one or more requirements for accreditation or requirements of the CAB's certification system or the CAB's management system, which would on the basis of available objective evidence raise significant doubt as to the credibility of the certificates issued by the CAB; or a number of minor nonconformities to one or more requirements, which when combined represent a breakdown of the CAB's systems; or a minor nonconformity previously issued and not addressed effectively.

Minor nonconformity: Observed lapse in the CAB's systems that does not represent a breakdown of the CAB's systems and does not raise significant doubt with regard to the credibility of any certificates issued by the CAB.

Nonconformity (NCR): Non-fulfillment of a requirement. All NCRs are sent in EQM.

Office assessment: Systematic and independent evaluation performed at the CAB's location to determine whether the CAB's management system for operating a certification system has been and continues to be in conformance with accreditation requirements and is effectively implemented. At NBE's discretion, the assessment can be conducted partially or completely by remote activity for some assessment scopes.

Opportunity for improvement (OFI): Finding not classified as a minor or major nonconformity. Any finding of

a potential NCR is classified as an OFI. There may be OFIs that are not potential nonconformities, and not all OFIs need to be documented in EQM.

Request for information (RFI): Additional information requested by NBE that does not affect the conformity of the CAB's system and does not constitute an OFI or minor or major NCR. RFIs are documented in EQM and do not require correction, cause, or corrective action.

Subordinate standard program: A certification program dependent on a base standard for which NBE offers accreditation (for example, AS9100 and TL 9000 based on ISO 9001).

Suspension of accreditation: Temporary restriction of the services a CAB may provide within the scope of accreditation. While accreditation for a standard is suspended, a CAB may not issue any initial NBE- accredited certification for that standard. Notification of suspension is published at www.nbeglobal.org (See section 17 of this Guide.)

Withdrawal (cancellation) of accreditation: Cessation of accreditation for some or all of the scope of accreditation. Withdrawal for the entire scope of accreditation requires return of the certificate of accreditation, cessation of use of the NBE symbol in any form and any reference to accredited status, and withdrawal of accredited certificates. Notification of withdrawal is published at www.nbeglobal.org. (See section 17 of this Guide.)

Witnessed audit: Witnessing by an NBE assessment team of a CAB's audit team conducting an audit (from beginning to end) of an organization's management system to the requirements of applicable standards to ascertain the audit team's competence to conduct the audit and to evaluate the effectiveness of the CAB's audit program implementation.

1. TERMS AND CONDITIONS

1.1. Applicant and accredited certification bodies are required to commit to fulfilling requirements for NBE accreditation.

1.1.1. NBE has defined the terms and conditions required for application and accreditation by NBE for all accreditation programs. Certification bodies are required to abide by these terms and conditions while in application and when accredited.

1.1.2. NBE's terms and conditions are outlined in the **Accreditation Agreement (FR-7-01-39)** and referenced in each application for initial accreditation.

1.2. Per ISO/IEC 17021-1, certification bodies are required to have a certification agreement with each certified organization. In addition to what is required by ISO/IEC 17021-1, the following shall be included in the agreement:

1.2.1. The CAB shall require its client to commit to continually fulfill the requirements for certification of its management system and to implement changes in requirements for certification in accordance with the transition periods as duly announced by the CAB.

1.2.2. The CAB shall authorize each organization under its accredited certification system only so long as the organization continues to operate in conformance with its certified management system to apply the NBE accreditation symbol (G-1-06) with the CAB's own symbol only on those organization documents that

relate to the certified management system and not on a product or in any way that could imply product, process, or service certification.

2. APPLICATION FOR ACCREDITATION

2.1. Information about the application process, including sample application form (FR-7-01-4) in world format, is available on NBE's website.

2.1.1. Before or during application for accreditation, an information visit may be requested by the CAB or recommended by NBE. NBE and the CAB will determine the agenda for the visit. The fee for the information visit is based on NBE's Fee Guide (G-1-02 Guideline on Accreditation Service Fees).

2.2. Formal application, which occurs in four steps, shall be made electronically through a e-mail to NBE's Enterprise Quality E-mail (EQM).

2.3. All information requested by NBE, including the application forms and supporting documentation, shall be submitted in English.

2.4. In step 1 of the application process, the CAB provides evidence of conforming to several primary ISO/IEC 17021-1 accreditation requirements and pays the initial application fee, which is non-refundable. NBE reviews the information provided. If no concerns are raised, NBE accepts the information (for this step of the application process) and notifies the CAB in writing of the next steps in the application process. If the information is not acceptable, NBE may allow the CAB to re-submit the information.

2.5. Steps 2, 3, and 4 include the CAB purchasing an application for a specific standard (for example, ISO 9001 or ISO 50001) and subsequently uploading the completed application with evidence. NBE staff verifies that NBE is able to serve the CAB in terms of policies, scope, and availability of competent assessors and experts.

2.6. NBE shall determine at its sole discretion whether the CAB meets NBE requirements for accreditation and is granted NBE accreditation. If at any time during the application process NBE deems that the CAB is not proceeding in a timely and appropriate manner to meet the accreditation requirements, NBE shall inform the CAB in writing that the application cannot be considered further and the reasons thereof, and NBE shall withdraw the application for accreditation. Application fees are not refunded.

2.6.1. If the CAB voluntarily decides not to pursue accreditation, the CAB shall inform NBE in writing. Application fees are non-refundable.

2.6.2. If the CAB wishes to re-apply, a new application and application fees shall be required. The CAB shall contact NBE to determine the action necessary to re-apply.

2.7. The CAB shall actively pursue the initial application by participating in required application activities in a timely manner (for example, providing additional information when requested, responding to requests for corrective action, arranging for office assessments, and arranging for suitable audits for NBE to witness).

2.7.1. If a CAB is unable to achieve accreditation within one year of initiating the application process (step 1), NBE may withdraw the CAB's application. NBE will notify the CAB of the impending change of status.

2.7.2. If the CAB is unable to achieve accreditation within one year of NBE's receipt of an application for

a specific program (step 4), NBE may withdraw the CAB's application for that program. NBE will notify the CAB of the impending change of status.

2.7.3. If the CAB wishes to re-apply, the CAB shall contact NBE to determine the required course of action. Depending on where the CAB was in the application process, the CAB shall start over at step 1 or be provided a new application to complete (steps 2 through 4). In either case, the CAB shall submit the application fees to re-apply.

2.8. A CAB applying for NBE accreditation that is already accredited by another IAF MLA and/or i-NAF MLA signatory accreditation body for the same scope (for example, ISO 9001) shall follow the initial application process as outlined in this Guide.

3. GENERAL REQUIREMENTS FOR ASSESSMENT

3.1. NBE informs the CAB of the identities, employment status, and experience of the members of the assessment team, which may include technical experts and observers (for example, industry representatives, evaluators, assessors in training).

3.1.1. If the CAB submits in writing an objection with supporting justification concerning any assessment team member, NBE shall not assign that person to the team if NBE deems the objection well founded.

3.2. NBE team members shall be impartial and free from conflicts and they are required to keep confidential all information about the CAB and its operations.

3.2.1. Under the IAF and/or i-NAF Management Systems Multilateral Recognition Arrangement (MLA) and in accordance with NBE's Working With Other Accreditation Bodies Guide, NBE at its discretion may cooperate with other IAF and/or i-NAF Management Systems MLA signatory accreditation bodies for office assessments and/or witnessed audits, provided the CAB has signed NBE's CAB agreement for cooperation.

3.2.2. NBE's cooperation with other accreditation bodies may include review of assessments conducted by other accreditation bodies, accepting other accreditation bodies' assessments in lieu of NBE assessments, joint assessments by NBE and other accreditation bodies, and/or having other accreditation bodies conduct assessments on NBE's behalf.

3.2.3. When NBE accepts assessments by other IAF and/or i-NAF Management Systems MLA signatory accreditation bodies, NBE may conduct abbreviated office assessments or witnessed audits.

3.2.4. When NBE accepts assessments by other accreditation bodies, NBE takes responsibility for the assessments in accordance with ISO/IEC 17011.

3.3. Prior to office assessments, the CAB shall complete or update application process following the instructions on the forms. NBE uses the forms to prepare for and during office assessments and they are updated by NBE and the CAB as appropriate.

3.4. For witnessed audits, the number of members of the NBE assessment team shall (excluding any technical experts) equal the number of auditors on the CAB's audit team.

3.5. The CAB shall have enforceable arrangements with organizations being audited for accredited certification to ensure NBE access to witness the CAB's audit team performing an audit at the organization's

site. Enforceable arrangement shall include allowing other oversight bodies access to certified organizations in accordance with applicable program requirements (for example, aerospace OEMs for AS9100, AS9110, and AS9120).

3.6. When witnessing a CAB conducting an integrated audit or an audit that includes multiple standards, NBE's witnessed audit scope may not include all standards within the CAB's audit; however, if the standards are within the scope of the CAB's NBE accreditation, NBE has a responsibility to identify nonconforming conditions for any accredited certification program regardless of the scope of NBE's witnessed audit.

3.7. The CAB shall notify NBE when an organization refuses a witnessed audit. The CAB shall remove the NBE accreditation symbol from the organization's certification or withdraw the certification (some schemes require accredited certification). If the organization attempts to transfer to another CAB to avoid having its audit witnessed, an NBE-accredited certificate shall not be issued by the accepting CAB. NBE will notify IAF member accreditation bodies of such refusals.

3.8. During NBE's witnessing of a CAB audit, the NBE assessor is not authorized to agree to any release of responsibility by the witnessed organization for the safety of the assessment and audit teams, and is expected to take immediate action at any time to avoid injury, including leaving the area or the organization if necessary. The NBE assessor will conform with the safety rules of the organization as made known to the NBE assessor.

3.9. If at any time during NBE's witnessing of a CAB audit the NBE assessor observes a potential hazard he or she considers to be an imminent risk to health and safety, the assessor shall request an immediate caucus with the CAB's audit team leader to inform him or her of the potential hazard, with the expectation that the CAB's audit team leader will address the hazard with the organization in accordance with the CAB's processes.

3.10. The NBE assessment report and identified NCRs related to noncompliance with statutory or regulatory requirements by the witnessed organization shall be written in terms of the management system requirements, certification requirements, and accreditation requirements, with due consideration of the risk to the organization of disclosure to other parties.

3.11. NBE assessments are administered through EQM.

3.11.1. NBE staff and accreditation assessors and the CAB are required to maintain assessment information in EQM.

3.11.2. An email confirmation is provided to the CAB and NBE's assessment team (including all members of the assessment team) to confirm the assessment and outline the detail.

3.11.3. The CAB shall send to EQM the pre-assessment documentation required by NBE by the date indicated in the email confirmation. This information includes but is not limited to details on logistical arrangements, the CAB's documentation, the CAB client profile, audit team competence, and the audit plan for witnessed audits. Prior to the office assessment, NBE provides the plan for the office assessments.

3.12. For each assessment, the assessment team leader prepares an assessment report including assessment details, discussion of NCRs issued, and findings identified, including requests for information and recommendations made by the assessment team.

3.12.1. NCRs shall be documented and reported for identified findings that require correction, cause analysis, and corrective action by the CAB.

3.12.2. Other findings may be identified; RFIs require a specific response of information and OFIs do not require any response. If the information provided in response to an RFI is determined to be nonconforming, then an NCR will be issued.

3.12.3. The assessment report, NCRs, and RFIs are sent to EQM, where the CAB can access them and provide the responses to the NCRs and RFIs.

4. INITIAL ASSESSMENT

4.1. Upon accepting an application (including an application from an NBE-accredited CAB to add an additional standard or standards to the scope of accreditation), NBE assigns an NBE accreditation assessor to review the application.

4.1.1. If the CAB's EATL is competent for the specific standard, the EATL will be the reviewer. If not, an assessor competent for the specific standard will be the reviewer.

4.1.2. The assessor reviews and evaluates the applicant's documentation submitted with the application to determine if the requirements for accreditation have been satisfactorily integrated into the applicant's management system and operating procedures and documentation. The assessor shall provide the results of the document review within the application. The applicant may be required to provide clarifications and corrections before the accreditation process proceeds.

4.1.3. The CAB is expected to respond to the results of each document review within 30 days. If the CAB takes an extended amount of time greater than 30 days to respond, additional time will be needed for subsequent review by NBE. The CAB may be invoiced for the cost of additional review time.

4.2. At this time, the CAB also shall notify NBE staff of its timeline for the initial assessments. NBE schedules initial assessments following a process similar to that for annual assessments. In keeping with the principles in Procedure for Accreditation of Conformity Assessment Bodies (PR-7-01), assessments are scheduled approximately 120 days in advance.

Assessments shall not be confirmed until the initial application document review has been closed by the application reviewer; however, the timeline is to be communicated throughout the application process.

4.3. NBE arranges with the applicant a mutually acceptable schedule for the office assessment and the two stages of the witnessed audits to ensure all objectives of the assessments are achieved.

4.3.1. For the first application to NBE for initial accreditation, NBE normally assigns at least one assessment team member to participate with the assessment team leader at the initial office assessment. For subsequent applications, NBE may (at NBE's discretion) assign additional assessment team members for the initial office assessment, based on the scope and objectives.

4.3.2. Other locations of the CAB also are subject to initial assessment if they are considered "critical" as defined in NBE Guidance on the Accreditation of Bodies Providing Services Through Branche (G-2-09), Implementation of IAF MD 12.

4.3.2.1. The CAB shall complete and maintain following the instructions on the form to specify other locations of the CAB, the functions related to the requested accreditation, and additional information for the

accreditation certificate.

4.3.3. Prior to conducting the office assessment for initial accreditation, the applicant shall have at least one complete client file from application to certification decision and draft certificate, understanding that the CAB shall not issue an NBE-accredited certificate to the client. In addition, the applicant shall have conducted a complete internal audit (of all elements of the management system) and at least one complete management review that includes review of the results of the complete internal audit. For CABs accredited by NBE that are adding standards to the scope of accreditation, this internal audit and management review may be limited to the standards for which the CAB is applying.

4.3.4. For initial witnessed audits, NBE shall witness the CAB's audit team conducting a two-part full system audit (stage 1 and stage 2 audit as defined in ISO/IEC 17021-1) of an organization's management system to the requirements of applicable standards. NBE prefers to witness a CAB's stage 1 and stage 2 audits of the same organization in sequence. Review of the CAB audit report is part of the witnessed audit process.

4.3.4.1. Normally, prior to NBE witnessing the stage 2 portion of the audit, the applicant shall provide NBE evidence of the completed report and/or conclusions from the stage 1 portion of the audit.

4.3.5. For initial accreditation, NBE may accept assessments from another IAF and/or i-NAF Management Systems MLA signatory AB (see section 3), in which case NBE may accept a stage 2 witnessed audit without a stage 1 witnessed audit if the other AB does not conduct stage 1 witnessed audits in its accreditation process; NBE will then witness a stage 1 audit at the first opportunity, which could be after initial accreditation.

4.4. In keeping with section 3 of this guide, assessment records are generated by NBE's team leader and are maintained in EQM.

4.5. In keeping with section 13 of this guide, NCRs shall be closed and major NCRs may need to be verified before the initial accreditation decision process is initiated. Follow-up assessments and/or additional assessments may be required. NBE shall communicate results of all reviews to the applicant.

4.6. Initial assessments shall occur within the 12-month period preceding the accreditation decision. If any assessment occurred more than 12 months prior to the accreditation decision, NBE may require an additional assessment.

5. INITIAL ACCREDITATION DECISION PROCESS

5.1. If the assessment team concludes the effectiveness of the certification system is satisfactory and recommends accreditation, and NBE staff concludes all other requirements have been met, including closure of all NCRs and any required verification of major NCRs, NBE staff prepares an accreditation package for an accreditation committee of the NBE Management Systems Accreditation Council. The package consists of a summary of the CAB's application information and the NBE executive review of the initial accreditation activity and recommendation. The accreditation committee has access to all assessment reports and NCRs issued, including the CAB's responses and NBE's review of the responses.

5.1.1. The Management Systems Accreditation Council governs accreditation committee voting.

5.2. If the assessment team or NBE staff do not recommend accreditation, NBE will notify the CAB of additional actions required or withdrawal of the application.

5.3. If the accreditation committee decides in favor of initial accreditation, the decision shall be communicated to NBE staff. The accreditation committee may impose certain conditions in its decision to accredit the applicant. The newly accredited CAB shall ensure that those conditions are met.

5.3.1. NBE staff shall notify the CAB of the favorable decision.

5.4. If the accreditation committee decides against initial accreditation, the decision shall be communicated to NBE staff. NBE staff shall notify the CAB in writing of the basis of the decision and any appropriate next steps for the applicant. The applicant may appeal the decision in keeping with section 18.

5.4.1. The unsuccessful applicant is responsible for NBE fees and assessment expenses associated with the accreditation activity.

6. INITIAL ACCREDITATION

6.1. When a CAB is accredited by NBE, the terms and conditions referred to in section 1 and in the application apply in their entirety.

6.2. Prior to NBE granting initial accreditation, all past due invoices must be paid in full.

6.3. For the first standard for which a CAB is accredited by NBE, NBE sends the CAB the NBE accreditation symbol and G-1-06, Policy on Use of the NBE Accreditation Symbols and Claims of Accreditation Status.

6.4. When accreditation is granted, a new or revised accreditation certificate is issued and the accreditation is published on NBE's website.

6.4.1. If the CAB is already accredited by NBE for another standard, the expiration may remain the same for standards added to the scope of accreditation.

6.5. The scope of accreditation, issue date, initial accreditation date, and expiration date shall be shown on the certificate, along with CAB locations, with critical locations identified and countries in which the CAB has issued or intends to issue NBE-accredited certifications listed (as outlined in NBE Accreditation related procedure, Implementation of IAF MD 12).

7. CERTIFICATION DOCUMENTS ISSUED BY THE CAB

7.1. For a certification document issued by an NBE-accredited CAB to be considered NBE-accredited, the document shall include NBE's accreditation symbol as specified in G-1-06 Conditions for the Use of NBE Accreditation Symbol, and PR-7-01 Procedure for the Accreditation of Conformity Assessment Bodies.

7.2. For integrated management systems certification, any NBE-accredited certificate that includes standards *not* covered under the NBE accreditation shall *clearly* delineate within the scope statement or

elsewhere on the certificate which standards are covered by the NBE scope of accreditation and which standards are outside this scope.

7.3. A CAB initially accredited by NBE for a specific standard may issue NBE-accredited certificates only after the CAB receives formal recognition of accreditation from NBE.

7.3.1. The CAB shall provide NBE a plan to transition clients certified prior to the CAB's accreditation by NBE to NBE-accredited certification. The plan shall be approved by NBE prior to implementation.

7.3.2. NBE-accredited certificates may be issued to the CAB's clients for whom NBE witnessed satisfactory audits by the CAB for initial accreditation of the CAB, and for any of the CAB's clients subsequently audited by the CAB within the scope of the NBE accreditation.

7.3.3. For clients audited and/or certified (as an unaccredited certification) prior to the satisfactory witnessed audits for initial NBE accreditation, the CAB may issue certificates to include the NBE accreditation symbol following satisfactory surveillance or recertification audits by the CAB that are conducted after the date of accreditation.

7.3.4. The CAB shall not issue or re-issue a certificate with an NBE accreditation symbol bearing an issue or effective date prior to the date on which the CAB attained NBE accreditation.

7.4. CABs previously accredited for the specific standard by an accreditation body that is a signatory to the IAF Management Systems MLA for that standard may formally request an exception to section 7.3. The CAB shall provide NBE a plan to transition clients certified prior to accreditation to NBE-accredited certification, which shall be approved by NBE prior to implementation. NBE will evaluate the plan and history of the CAB making this request and will require permission to make inquiries of the other relevant accreditation bodies. Following this retrospective evaluation, NBE may permit replacing the previously issued certificates with NBE-accredited certificates.

7.4.1. NBE will establish the date after which the CAB may issue or re-issue certificates with the NBE accreditation symbol (G-1-06).

8. MAINTAINING ACCREDITATION

8.1. NBE monitors and evaluates the CAB's competence and conformity with accreditation requirements, reference documents, and applicable NBE Accreditation Rules and the effectiveness of the CAB's implementation of its systems throughout the term of the accreditation. This includes periodic office assessments to monitor selected requirements and periodic witnessing of CAB audit teams conducting management systems audits to applicable standards.

8.1.1. All information received by the CAB, including supporting documentation for assessments and corrective action responses, shall be submitted in English.

8.2. NBE maintains an assessment program (PR-7-1) that allows the CAB and NBE to ensure assessments are completed when required and assessment requirements are fulfilled (for example, types of audits witnessed, critical location activity, scopes witnessed).

8.3. NBE shall conduct office assessments at approximately six months after initial accreditation to the first

standard or 12 months after the first initial office assessment, whichever occurs first, and thereafter normally every 12 months. The intent is to schedule office assessments six months prior to the month of expiration of accreditation. NBE reserves the right to conduct unscheduled office assessments at times other than those stated.

8.3.1. When the CAB gains accreditation for additional standards, office assessments will be conducted concurrently when possible.

8.3.2. NBE determines the duration of the office assessment according to NBE's internal calculation process.

8.4. NBE shall witness audits of CAB audit teams annually for each standard or as otherwise stated in the applicable Accreditation Rule for each standard and following the process in NBE Accreditation Procedure PR-7-01. NBE reserves the right to witness additional CAB audits if deemed necessary.

8.5. Other locations of the CAB are also subject to assessment as defined in NBE Accreditation Guide G-2-09, Implementation of IAF MD 12.

8.6. NBE staff is authorized by the Management Systems Accreditation Council to conduct periodic file reviews throughout the accreditation cycle to confirm that the CAB continues to maintain its accreditation and meet accreditation requirements based on the satisfactory results of annual assessments and satisfactory correction and corrective action for any closed nonconformities.

8.6.1. The file review is completed by NBE management staff and includes at a minimum review of assessment reports, evaluating effectiveness of the CAB's corrective action process, progress of scheduling and achieving required assessments, complaint activity, changes, and overall effectiveness.

8.7. When a standard or other requirement document is revised, NBE establishes a transition process in accordance with existing requirements or guidance (for example, IAF documentation, industry-sector requirements). NBE communicates the process to CABs via a Heads Up and/or Accreditation Rule. NBE determines each transition process based on the extent of changes and effect on NBE-accredited CABs. The transition process includes required activities (for example, CAB declaration of transition, application review, document review, assessments) and specific timelines to be met to expedite the process.

8.7.1. NBE staff is authorized by the Management Systems Accreditation Council to make decisions on transitions to new versions of standards following the process specified for the transition to each specific standard.

The declaration of transition process is an option¹ whereby the CAB is required to submit a declaration of transition document containing relevant and/or key activities the CAB attests to having completed to meet the requirements for transition. NBE transitions the CAB's accreditation based on the CAB's declaration and reviews the implementation of transition against it at the next and future assessments. NBE writes any nonconformities associated with the required changes for transition, and correction, cause analysis, and corrective action are required by the CAB per NBE's normal corrective action process. A declaration that is false or cannot be substantiated through future assessments is a breach of the Conditions of Accreditation and is grounds for suspension or withdrawal.

¹This method is not an option for all transitions but may be used (at NBE's discretion) when transition requirements are clearly defined by a scheme owner and changes have a minimal impact on the CAB and certified clients.

8.8. The CAB is required to maintain its accreditation in accordance with general management system requirements as outlined in option A or B of ISO/IEC 17021-1 and verified by NBE as part of the initial accreditation decision, in accordance with section 6.

8.8.1. If the CAB subsequently changes the option for its management system, NBE shall conduct an office assessment to the new option, the assessment team will make a recommendation to NBE staff, and NBE staff is authorized by the Management Systems Accreditation Council to make the decision. When the decision is made, the accreditation certificate will be revised accordingly.

9. INCREASED MONITORING OF ACTIVITY

9.1. NBE staff is authorized by the Management Systems Accreditation Council to increase monitoring of a CAB's activity in circumstances where there is reasonable concern about the CAB's operations but where suspension or withdrawal of accreditation may not be appropriate. Increased monitoring need not precede suspension or withdrawal.

9.2. Increased monitoring may be required based on any of the following reasons:

- 9.2.1. Significant organization changes
- 9.2.2. Increased certification activity
- 9.2.3. Multiple NCRs and/or complaints in a specific program or process
- 9.2.4. Relationships that cause a real or perceived conflict of interest
- 9.2.5. Other conditions deemed appropriate

9.3. Increased monitoring may include an increase in office assessment and/or witnessed audit activity, or special assessments, depending on the reasons for increasing the frequency.

9.4. Monitoring of activity shall return to normal levels when NBE regains confidence in the CAB's system and the CAB demonstrates effective control of its system.

10. REACCREDITATION

10.1. For reaccreditation, NBE shall conduct an office assessment or assessments of the CAB's full management and certification systems, including an assessment at the CAB's head office and/or any other office designated as an accredited office for a given standard, at approximately six months prior to the expiration of the accreditation, to include all standards for which the CAB is accredited to provide certification.

10.2. NBE reviews all witnessed audits completed prior to reaccreditation.

10.3. Other locations of the CAB are subject to reaccreditation assessments as defined in NBE Accreditation guide G-2-09, Implementation of IAF MD 12.

10.4. Before the expiration of accreditation, NBE staff shall prepare the CAB's reaccreditation package,

consisting of a summary of all assessments that occurred during the accreditation cycle, summary of complaints, summary of appeals, and the NBE executive recommendation. Members of the accreditation committees have access to all assessment reports and NCRs issued (with status) and (when available) the CAB's correction action responses and NBE's review of the responses. The reaccreditation package shall be submitted to an accreditation committee of the Management Systems Accreditation Council for the reaccreditation decision.

10.4.1. The Procedure for the Accreditation of Conformity Assessment Bodies (PR-7-01) governs accreditation committee voting.

10.5. The executive recommendation with justification may be for a full accreditation cycle, short-term accreditation cycle, suspension, or withdrawal.

10.6. If the accreditation committee decides in favor of reaccreditation, the decision shall be communicated to NBE staff and NBE issues a new certificate of accreditation. The accreditation committee may impose certain conditions in its decision to reaccredit the CAB. The reaccredited CAB shall ensure that those conditions are met.

10.7. If the accreditation committee decides against reaccreditation, the decision shall be communicated to NBE staff. NBE staff shall notify the CAB in writing of the basis for the decision and any next steps on the part of the CAB and NBE appropriate to initiate suspension or withdrawal of accreditation in keeping with section 14. The CAB may appeal the decision in keeping with section 18.

10.8. NBE shall revise the CAB's certificate of accreditation based on the decision.

11. EXPANSION OR REDUCTION OF SCOPE

11.1. The scope of accreditation, if applicable, is specified in the NBE Accreditation Rule for a given standard.

11.2. The CAB shall formally apply for expansion of scope electronically through NBE's EQM. NBE assigns an NBE accreditation assessor to review the application. If the assigned EATL is competent for the specific standard and scope, the EATL can be the reviewer. If not, an assessor competent for the specific standard and scope will be the reviewer.

11.3. Sections 2.6 above applies for expansions of scope.

11.4. NBE staff is authorized by the Management Systems Accreditation Council to make decisions on an expansion of scope under a management systems standard based on the recommendation of the reviewer and witnessed audit results (if applicable) following the process specified in the NBE Accreditation Rule for the relevant accreditation program.

11.5. The process to transition clients certified prior to the CAB's accreditation by NBE for the expansion of scope to NBE-accredited certificates is in accordance with section 7.3 and ;

- A certification is considered accredited only if the certification document includes an accreditation symbol or is otherwise identified in writing as being accredited. The NBE accreditation symbol shall be included on NBE-accredited certification documents.

- Consistent with IAF Resolution 2015-14, effective 2016/11/05, each NBE-accredited CAB shall issue only accredited management systems certifications within the CAB's scope of accreditation.
 - a.) This applies only to certifications within the NBE scope of accreditation of the CAB. The CAB can issue unaccredited certifications for certifications not within the CAB's scope of accreditation by NBE or any other IAF member accreditation body.
 - b.) If an NBE-accredited CAB is also accredited by other IAF member accreditation bodies, the CAB is not required to issue NBE-accredited certifications; accredited certifications can be issued certifications under the accreditation of another IAF member accreditation body.
 - The initial transition process for unaccredited certifications issued prior to the effective date is:
 - a.) All unaccredited certifications within the NBE scope of accreditation existing prior to 2016/11/05 shall be issued as accredited at recertification or earlier if changes are made to the certification.
 - b.) All existing unaccredited certificates issued within the CAB's scope of accreditation shall be reissued as accredited by 2019/11/05.
 - If a CAB gains a new accreditation (standard or scope) with NBE, the CAB shall provide a transition plan in accordance with G-4-05, Guide on Accreditation of Management Systems Certification Bodies. The transition plan shall ensure that any existing certification (issued prior to accreditation by NBE) is issued as accredited after the CAB's first satisfactory audit of the organization, following accreditation by NBE.
 - If the CAB issued any unaccredited certifications because of the geographic limitations specified in
 - As a result of Executive Orders issued by the President of the United States, a CAB shall not issue any NBE-accredited certifications of sites in Cuba, Syria, Iran, or North Korea.
 - Because of travel advisories and safety concerns, a CAB shall not issue any NBE-accredited certifications of sites in Afghanistan, Iraq, or Yemen.
 - NBE shall monitor implementation of this Accreditation Rule during assessments, the CAB shall not issue these certifications as NBE-accredited certifications. The CAB can maintain the unaccredited certifications or, if the CAB is accredited by another IAF member accreditation body, manage the certifications in accordance with another IAF and/or i-NAF member accreditation body.
- 11.6. NBE staff is authorized by the Council to make decisions on a reduction of scope under a management system standard when there is evidence that the CAB no longer possesses the necessary competence for auditing and certification for the scope or when the CAB may not have clients to support required witnessed audits in accordance with applicable Accreditation Rules.
- 11.6.1. The CAB shall inform any clients affected of the reduction of scope and the effect on the clients' certifications within 10 calendar days of receiving notice of the reduction.

12. COMPLAINTS

- 12.1. NBE staff shall process any complaints against NBE in keeping with NBE procedures for complaints including, if necessary, the correction and corrective action process. The complaint shall be addressed in writing.
- 12.2. Complaints about NBE-accredited CABs and organizations with NBE-accredited certifications shall be addressed in accordance with NBE's policy.
- 12.3. NBE shall maintain a record of all complaints received and their resolution.

13. NONCONFORMITIES (NCRS)

- 13.1. If NBE determines an accredited CAB is not in conformance with accreditation requirements or with the CAB's own policies and procedures or if a process is not effectively implemented, NBE shall give the CAB the opportunity to make correction, determine cause (that is, complete a cause analysis), and take corrective action within a period determined by NBE without prejudice to the right to also initiate suspension or withdrawal.
- 13.2. An NCR may result from any assessment or other source of information (for example, a complaint) if there is objective evidence indicating non-fulfillment of any requirement.
- 13.3. For witnessed audits, because the NBE assessment team witnessing a CAB audit team functions as an observer only and cannot actively pursue an assessment trail, a potential NCR is not classified prior to discussion with the CAB audit team during the closing meeting between NBE and the CAB audit team. It is the responsibility of the NBE assessment team to decide on the classification and status of a potential NCR.
- 13.4. NBE shall document each CAB NCR identified to include (1) the requirement, (2) the statement of finding, and (3) the evidence, and shall classify it as a major or minor NCR. NBE shall provide the NCR to the CAB electronically or in hard copy at the conclusion of the assessment activity and subsequently send to EQM for formal response by the CAB.

14. CORRECTIVE ACTION

- 14.1. The CAB shall respond to any NCR via EQM.
- 14.2. The process for corrective action for most standards is outlined in this section; when a standard varies from this process (for example, AS9100), the detail is found in the applicable Accreditation Rule for that standard. Additional detail on what is to be included in corrective action responses can be found in Procedure for the Accreditation of Conformity Assessment Bodies (PR-7-01) for NBE issued NCRs.
- 14.3. The four parts of the CAB's response are:
- 14.3.1. Correction, which may include containment.
 - 14.3.2. Cause analysis.

Note: It is necessary to determine the cause to take corrective action. The CAB should use an appropriate process, such as root cause analysis or five whys, to determine cause.

14.3.3. Corrective action, including the method used to determine its effectiveness.

14.3.4. Evidence, including documentation to support the correction and implementation of corrective action.

14.4. Within 10 calendar days, the NBE assessment team leader or technical reviewer shall review the response and enter his or her review in EQM.

14.4.1. A technical reviewer (for example, team member) may be assigned to review the corrective action response if the NCR is in a program for which the assessment team leader is not an expert. NBE will invoice the CAB for the review in accordance with NBE's feeschedule.

14.5. NBE accreditation assessors and staff are authorized by the Management Systems Accreditation Council to assess whether adequate correction and corrective action have been taken and effectively implemented.

14.6. The review shall include justification for not accepting the response or for accepting the response and closure of the NCR.

14.6.1. A NCR may be withdrawn with justification.

14.7. If a response is not accepted, the CAB shall enter additional responses and supporting documentation in EQM.

14.8. The corrective action process shall be repeated as necessary until the response is accepted and the NCR is closed, within the allowed response time (see sections 14.9 and 14.10).

14.8.1. If the corrective action responses exceed two reviews, NBE will invoice the CAB for the additional review time in accordance with NBE's feeschedule.

14.9. For a major NCR, the CAB shall submit the cause analysis and the correction (or a plan for correction) and the plan for corrective action within 30 calendar days from the date the NCR is issued and a *satisfactory* response for closure, including evidence of implementation, within 60 calendar days from the date of the NCR, unless the CAB and NBE agree on a longer period of time.

14.9.1. Failure to submit a plan within 30 calendar days shall result in immediate suspension in accordance with NBE Accreditation Procedure (PR-7-01), Suspension of Accreditation by NBE Management Staff.

14.9.2. Failure to submit a satisfactory response, including evidence of implementation, within 60 calendar days shall result in a recommendation for suspension in accordance with section 17.

14.10. For a minor NCR, the CAB shall submit the cause analysis and the correction (or a plan for correction) and the plan for corrective action within 30 calendar days from the date of the NCR and a *satisfactory* response for closure, including evidence of implementation, within 90 calendar days from the date of the NCR, unless the CAB and NBE agree on a longer period of time.

14.10.1. Failure to meet the deadlines for responding and closure to a minor NCR shall result in the NCR being escalated to a major NCR and addressed in accordance with 14.9.

14.11. It is recommended that the CAB provide responses early to allow time for additional reviews if

needed. These timelines do not apply while a NCR is under appeal, unless a requirement of a relevant standard varies (for example, NSO-NAP 10).

14.12. During assessments, NBE shall verify continued effective implementation of correction and corrective action for any NCR addressed since the previous assessment when applicable.

15. PUBLIC NOTICE AND INFORMATION

15.1. NBE makes public announcement of applications for accreditation (including the subsequent withdrawal of an application) and the granting, renewal, suspension, and withdrawal of accreditations.

15.2. NBE maintains on its website a publicly available directory of NBE-accredited CABs, lists of applicant and transitioned CABs, and information regarding suspensions and withdrawals of accreditation.

16. FEES

16.1. The CAB shall pay fees as shown in the current fee schedule.

16.2. Payment in full of all invoices is due 30 days from the date on the invoice in accordance with the current fee schedule.

16.3. Within 10 calendar days after the expiration of the due date, NBE will email a reminder to the CAB with a copy of the invoice. At this time, the CAB is officially on “financial probation.” A CAB on financial probation may not:

16.3.1. Apply for expansion of the scope of accreditation.

16.3.2. Receive an NBE-issued certificate for initial accreditation.

16.3.3. Apply for accreditation to additional standards.

16.3.4. In addition, NBE may suspend any such activity that may be under way on behalf of the CAB.

16.4. While on financial probation, a CAB can still operate NBE-accredited programs.

16.5. If NBE does not receive payment within 60 calendar days of the invoice date (30 calendar days past the due date), a monthly 2% interest charge will be assessed on the outstanding amount due, backdating to the initial invoice date. This 2% interest per month will continue to accrue until the invoice is paid in full.

16.6. NBE staff is authorized by the Management Systems Accreditation Council to suspend a CAB’s accreditation if an invoice remains unpaid 90 calendar days after the invoice date (60 calendar days past the due date), as outlined, Suspension of Accreditation by NBE Management Staff. NBE will send the CAB written notice of the suspension decision.

16.6.1. Possible action could also include withdrawal of accreditation.

16.7. The CAB may appeal an invoice; however, the invoice shall be paid prior to the due date to avoid financial probation and/or suspension as referred to above.

16.7.1. The CAB can appeal an invoice following the appeal process outlined in section 18. If the decision is in favor of the appellant, a credit or refund will be issued, including any interest the CAB may have paid.

16.8. In case of premature termination of the Accreditation Agreement (withdrawal of NBE accreditation), a pro-rata payment of the fee for the portion of the accreditation year during which accreditation was in effect is payable in full upon termination.

17. SUSPENSION AND WITHDRAWAL OF ACCREDITATION

17.1. Suspension of accreditation places restrictions on a CAB's ability to continue to offer and provide accredited certification. Suspension can be for the CAB's full scope of accreditation or for specific standards.

17.1.1. While suspended, a CAB shall continue to conduct required surveillance and recertification audits and other services necessary to maintain existing accredited certifications, and may continue to conduct audits for initial certification, but shall not issue any new accredited certifications within the scope of the suspension. Additional suspension rules may apply for a given program (refer to NBE Accreditation Rules).

17.1.2. The CAB shall inform any clients affected of the suspension and the effect on the clients' applications or certifications within 10 calendar days of receiving notice of suspension. Within 30 calendar days of notice of suspension, the CAB shall provide to NBE the name, mailing address, telephone number, and email address (as applicable) of every client with an accredited certification within the scope of the suspension.

17.1.3. While suspended, the CAB may be required to pay in advance for any assessments or other services performed by NBE to maintain accreditation.

17.2. Normally, suspension or withdrawal of accreditation is initiated by formal action of a panel of the Management Systems Accreditation Council and shall be lifted only by formal action of the same panel.

17.2.1. NBE staff is authorized by the Council to suspend a CAB's accreditation for reasons outlined in NBE Procedure for the Accreditation of Conformity Assessment Bodies (PR-7-01), Suspension of Accreditation by NBE Management Staff.

17.2.2. An NBE-accredited CAB can request a voluntary suspension of accreditation. If NBE agrees to the voluntary suspension, NBE staff will determine the conditions for lifting suspension. The only formal action of a suspension panel is for lifting when conditions are met. The actions outlined in sections 17.3 and 17.8 apply.

17.2.2.1 If NBE and the CAB cannot agree on the details of the voluntary suspension, the normal suspension process is followed.

17.2.3. An NBE-accredited CAB can request a voluntary withdrawal of accreditation. Ideally, the actions in section 17.6 should be completed prior to the effective date of the withdrawal but if that is not possible, the timelines outlined in section 17.6 must be met following the effective date of the voluntary withdrawal.

17.3. The period of suspension shall not exceed six months unless specifically authorized by the panel of the Council. Failure to satisfy the conditions or to remedy the causes of suspension within the specified time period is grounds for initiating withdrawal of accreditation.

17.4. Any of the following reasons are considered grounds for suspension or withdrawal:

17.4.1. Failure of the CAB to conform with accreditation requirements.

17.4.2. Failure to maintain an effective audit management program in keeping with the current version of ISO/IEC 17021-1 and any related documents.

17.4.3. Inability or unwillingness of the CAB to ensure conformity of its certified organizations to applicable standards.

17.4.4. Major NCR previously issued and not addressed effectively.

17.4.5. Ineffective correction and/or corrective action taken, or corrective action not implemented within a specified time period.

17.4.6. NCR with or failure to execute the NBE Accreditation Agreement.

17.4.7. Improper use of the certificate of accreditation or the NBE accreditation symbol (see G-1-06, Use of the NBE Accreditation Symbol, and PR-7-01 Procedure for the Accreditation of Conformity Assessment Bodies Claims of Accreditation Status).

17.4.8. Existence of a complaint or a number of complaints indicating the management system of the CAB is not being maintained.

17.4.9. Failure to meet financial obligations to NBE.

17.4.10. Falsification of any nature.

17.4.10.1. NBE will invoke IAF Mandatory Document 7 and initiate its process for withdrawal when there is reliable evidence of fraudulent behavior or the CAB intentionally provides false information or intentionally violates accreditation requirements, including notification of all IAF member accreditation bodies by the IAF Secretary.

17.5. The chair of the Council shall appoint a three-member panel of Council members, with one of the members appointed chair, for a suspension or withdrawal hearing. NBE staff shall submit to the panel a recommendation for suspension or withdrawal with appropriate documentation to support the recommendation. The recommendation for suspension shall include conditions for lifting suspension. NBE shall provide a copy of the recommendation and supporting documentation to the CAB.

17.5.1. NBE staff shall schedule the hearing, which may be a face-to-face meeting or teleconference as agreed by the panel, the CAB, and NBE. For face-to-face hearings, the CAB will be billed for travel expenses for the panel members.

17.5.1.1. Suspension and withdrawal hearings are not legal proceedings. Therefore, NBE shall be notified at least 10 calendar days in advance if the CAB intends to have legal counsel present to ensure NBE has sufficient advance notice so that NBE can also have legal counsel present. NBE will invoice the CAB for the cost of having NBE's legal counsel present.

17.5.2. The CAB may submit to the panel and NBE staff documentation contesting or rebutting the recommendation for suspension or withdrawal.

17.5.3. At the hearing, except as otherwise agreed by all parties, the panel chair shall lead introductions and then allow the CAB 30 minutes to present its position to the panel. Next, NBE shall have 30 minutes to present its position. Then the panel chair will lead a question-and-answer period, followed by 10 minutes for each party to provide any rebuttals. The panel chair will then indicate the expected time frame for communicating the panel's decision (normally not exceed three calendar days) and close the hearing and dismiss the parties.

17.5.4. Following the hearing, the panel members will deliberate without any involvement of the CAB or NBE.

17.5.5. Within three calendar days or as otherwise agreed by all parties, the chair of the panel shall communicate the decision of the panel to the CAB and NBE.

17.5.6. Within three calendar days of the decision of the panel, NBE staff shall notify the CAB of suspension or withdrawal in writing. The notice of suspension or withdrawal shall include the effective date of suspension or withdrawal and a clear statement of the reasons for the suspension or withdrawal. NBE shall make public notice of the suspension or withdrawal on NBE's website.

17.6. Upon receipt of notice of withdrawal of accreditation, the CAB shall:

17.6.1. Provide to NBE within five calendar days a list of all clients affected, including contact information for each client.

17.6.2. Provide to NBE within five calendar days for review and approval the notice the CAB intends to provide to its certified and applicant clients of (1) withdrawal or cancellation of NBE accreditation, (2) the requirement for the client to return the NBE accredited certificate (as applicable), and (3) the process to transfer to another NBE-accredited CAB or the process for the CAB to transfer the NBE-accredited certificates to another IAF and/or i-NAF Management Systems MLA accreditation body's accreditation.

17.6.3. Send the NBE-approved notification to its certified and applicant clients within 15 calendar days.

17.6.4. Make every reasonable effort to withdraw any NBE-accredited certificate within 90 calendar days.

17.6.5. Following withdrawal, NBE shall grant accreditation only after the CAB has again successfully completed both the application and initial accreditation processes, including payment of all required fees. The CAB shall contact NBE to determine the action necessary to re-apply.

17.7. NBE may contact directly the CAB's certified and applicant clients to fulfill the requirements in section 17.6 in the event the CAB fails to fulfill its obligations.

17.8. A record of suspensions and withdrawals of accreditation shall be maintained on NBE's website. The name of each CAB whose accreditation has been suspended or withdrawn shall be posted with the effective dates and explanation of why the CAB's accreditation has been suspended or withdrawn (that is, financial, voluntary, year-end required audits, or nonconformance).

18. APPEAL PROCESS

18.1. A CAB may appeal any decision or action taken by NBE.

18.1.1. When a CAB appeals an NBE invoice, the CAB shall pay the invoice in full prior to the due date to avoid financial probation and/or suspension, in accordance with section 17 and NBE Procedure for the Appeals and Complaints (PR-5-07).

18.2. The NBE appeal process has two levels: Level 1 appeals are heard by a panel of NBE accreditation assessors and/or staff and level 2 by a panel of the Management Systems Accreditation Council.

18.2.1. Level 1 appeals are heard by a panel of three consisting of accreditation assessors and/or staff who have no conflicts of interest (that is, not involved in the assessment). This is normally the level applied to any appeal of a NCR.

18.2.2. Level 2 appeals are made to the Council and heard by a competent panel of three members of the Council who have no conflicts of interest. This is the first and only level for any appeal of an accreditation decision or any other decision of the Council. It is also the second level of appeal if either party (the appellant or NBE) is not satisfied with the decision made by the level 1 appeal panel.

18.3. An appeal shall be lodged in writing no later than 30 days after notification to the CAB of the decision or action.

18.4. Appeals shall be lodged in EQM and are to include appropriate substantiation for the appellant's position.

18.5. The CAB shall pay an appeal-processing fee (see NBE's fee schedule) when lodging an appeal. The appeal will not be considered unless payment is submitted with the appeal documentation. A credit to the CAB may be assessed depending on the outcome of the appeal.

18.6. A panel of three members is appointed, with one of the three members appointed chair. For level 1, the panel members are appointed by NBE management. For level 2, the panel members are appointed by the chair of the Council. The appellant and NBE shall be informed of the members of the panel and have an opportunity to object to the selections.

18.7. Appeals are not legal proceedings. Therefore, the appellant shall notify NBE at least 10 calendar days in advance if an appellant intends to have legal counsel present to ensure NBE has sufficient advance notice so that NBE can also have legal counsel present. NBE will invoice the CAB for the cost of having NBE's legal counsel present.

18.8. NBE shall make every effort to have the appeal heard within 60 days.

18.9. At the hearing, unless otherwise agreed by all parties, the panel chair shall lead introductions and then allow the CAB 30 minutes to present its position to the panel. Next, NBE shall have 30 minutes to present its position. Then the panel chair will lead a question-and-answer period, followed by 10 minutes for each party to provide any rebuttals or closing statements. *For level 1 appeals only*, the panel chair will inform the parties that the appeal can be escalated to the next level within 30 days of receipt of the panel decision. The panel chair will then indicate the expected time frame for communicating the panel's decision (normally not to exceed one week), close the hearing, and dismiss the parties.

- 18.9.1. Following the hearing, the panel members will deliberate without any involvement by the appellant or NBE.
- 18.9.2. The chair shall document the panel's decision in EQM and then notify NBE staff. NBE staff will notify the appellant.
- 18.9.3. Any notes made by panel members in preparing for the appeal, during the hearing, or during the subsequent deliberations will not be maintained.

19. CONFIDENTIALITY AND DISCLOSURE OF INFORMATION

- 19.1. Contact information submitted by the CAB and the scope of the CAB's NBE accreditation is considered public information and is publicly available on NBE's website and provided to IAF as required for the IAF database.
- 19.2. All other information NBE acquires in relation to NBE accreditation activities, except for accreditation information that is required to be made public and information made publicly available by the CAB, is treated as confidential by all NBE staff, agents, councils, and committees, and any contractors or subcontractors.
- 19.3. Such information shall not be disclosed to any unauthorized party without the written consent of the CAB, except where the law requires disclosure. When NBE is required by law to release such information, the CAB shall be informed of the information provided.
- 19.3.1. NBE may provide access to confidential information to accreditation peer evaluators from accreditation bodies recognized by IAF, i-NAF, ILAC who have signed appropriate agreements to not disclose confidential information as required by specific schemes.

20. APPROVAL AND REVISION OF ACCREDITATION REQUIREMENTS

- 20.1. The Management Systems Accreditation Council shall review and approve this guide and NBE Accreditation Rules. The Council will determine the date on which the guide and Accreditation Rules and revisions thereof shall take effect.
- 20.2. NBE shall submit proposals regarding this guide and Accreditation Rules to the Council for approval to seek stakeholder and public comment.
- 20.3. Following approval by the Council, NBE shall solicit stakeholder and public comment via the NBE website.
- 20.4. NBE shall consider any comments received and submit a final proposal to the Council for approval.
- 20.5. Following approval by the Council, the guide and Accreditation Rules, or revisions thereof, shall be posted on NBE's website.
- 20.6. When the guide and Accreditation Rules are revised, NBE shall immediately notify NBE- accredited and applicant CABs. NBE shall specify a schedule for monitoring CAB action to achieve conformity to the

revised accreditation requirements and the date by which the changes are to be implemented.

20.7. When external documents (such as ISO/IEC standards and IAF documents) relating to certification and/or accreditation requirements are published or revised, NBE shall notify the Council and NBE- accredited and applicant CABs. NBE shall specify a schedule for monitoring CAB action to achieve conformity to such new and/or revised accreditation requirements and the date by which the changes are to be implemented.

21. ACCREDITATION PROGRAMS OF MANAGEMENT SYSTEMS

21.1 ACCREDITATION PROGRAM FOR ISO 9001 QUALITY MANAGEMENT SYSTEMS (QMS)

PREFACE

This Accreditation Rule is to inform certification bodies (CABs) of NBE requirements for accreditation to certify organizations for QMS conforming with ISO 9001.

ACCREDITATION RULE

1. Requirement Documents (current versions unless specified)
 - 1.1. ISO 9001, Quality management systems – Requirements
 - 1.2. ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems
 - 1.3. ISO/IEC 17021-3, Competence requirements for auditing and certification of quality management systems
 - 1.4. PR-7-01, NBE Procedure for the Accreditation of Conformity Assessment Bodies, and applicable NBE Accreditation Rules
 - 1.5. IAF MD 17, Witnessing Activities for the Accreditation of Management Systems Certification Bodies
 - 1.6. Other IAF Mandatory Documents as applicable
2. Application Process
 - 2.1. CABs can obtain applications for informational use at www.nbeglobal.org.
 - 2.2. The application process outlined at www.nbeglobal.org must be completed via NBE's Enterprise Quality e-Mail (EQM) when the CAB is ready to apply for QMS accreditation.
 - 2.3. The application fee includes the cost of one assessor day for the off-site documentation review.
3. Initial Assessments for Accreditation
 - 3.1. An NBE accreditation assessor shall conduct a full documentation review.
 - 3.2. After the documents are found acceptable, NBE shall conduct an office assessment and required witnessed audits.
 - 3.2.1. The office assessment shall be conducted on site or remotely (at NBE's discretion) and is conducted to ensure the CAB's certification process for QMS conforms with ISO/IEC 17021- 1 and is effective.
 - 3.2.2. NBE shall witness the CAB conducting a two-stage audit process (stages 1 and 2).
 - 3.2.2.1. The NBE assessment team shall have the same number of members as the CAB audit team.
4. Surveillance Assessments
 - 4.1. NBE shall conduct an annual office assessment and annually witness a CAB team conducting a QMS audit.
 - 4.1.1. When possible, the office assessment shall be conducted concurrently with assessments for other NBE accreditation programs for which the CAB is accredited.
 - 4.1.2. NBE will select the witnessed audit in accordance with this Accreditation Rule, PR-7-01, and IAF MD 17.
 - 4.1.2.1. NBE shall evaluate the CAB's full system audit process during at least one annual witnessed audit (stages 1 and 2 certification audit or recertification).

4.1.2.2. When selecting additional audits to witness in the accreditation cycle, NBE will consider the IAF MD 17 technical clusters (listed in Annex 1 below) for which the CAB is accredited, the CAB's audit activity, and management system findings, and will include audit types such as surveillance, special, multi-site, scope expansion, transfer, integrated, ASRP (IAF MD 3), and/or ICT (IAF MD 4).

4.1.3. During the accreditation cycle, NBE shall assess the competence of the CAB during office assessments and witnessed audits for all QMS scopes for which the CAB is accredited.

4.1.4. All QMS assessments shall be planned for and recorded on the NBE assessment program (per PR-7-01), including identification of the competence reviews by the scope of accreditation.

5. Reaccreditation Assessments

5.1. NBE shall conduct a document review and an on-site full system office assessment at approximately six months prior to the expiration of accreditation.

5.2. NBE may reduce the CAB's scope of accreditation if competence has not been confirmed during the accreditation cycle. NBE will consider if the CAB is in the first or second accreditation cycle per IAF MD 17 and as outlined below.

6. Scope of Accreditation

6.1. The scope of accreditation shall be for IAF scopes specified in IAF ID 1 and further defined in IAF MD 17, based on assessment of the CAB in accordance with IAF MD 17. IAF scopes, technical clusters, and critical codes are listed in Annex 1 (following).

6.2. During the initial accreditation process, the CAB shall identify all desired scopes in the application. To expand the scope after initial accreditation, the CAB shall provide a completed scope extension application (via EQM) for each desired scope.

6.3. The application process for initial accreditation or extension of scope shall include review of evidence demonstrating an appropriate level of competence for each scope for which the CAB applies.

6.4. A competent accreditation assessor or technical reviewer will review the application and documentation, including the CAB's competencies and processes for the specific scope, and prepare a written response on the CAB's conformance.

6.5. After NBE confirms competence for each scope identified in the CAB's application, NBE will determine the witnessing needed for the scopes, considering the CAB's clients and technical clusters per Annex 1 and as defined in Table 1 (below):

Table 1.

Requested Scope	Cluster (per Annex 1)	Witnessing Requirements (per IAF MD 17)	
Scope is a critical code	Cluster with no other critical codes	Scope is witnessed	
	Cluster with other critical codes	At least one critical code has been witnessed	No witnessing required
		No critical code has been witnessed	Witnessing required
	After a witnessed audit in a critical code has been successfully completed, additional critical and non-critical codes in the cluster may be granted following successful application review for evidence of competence		

Scope is not a critical code	CAB scope of accreditation includes no codes from the cluster	Witnessing in a critical or non-critical code in same cluster required	After a successful witnessed audit in a critical or non-critical code, the non-critical code can be granted following successful application review for evidence of competence
	CAB scope of accreditation includes codes from the cluster	Witnessed audit in a critical code or non-critical code previously completed	Non-critical code can be granted without a witnessed audit following successful application review for evidence of competence
	After a witnessed audit has been successfully completed for a non-critical code, additional non-critical codes in the same cluster may be granted following successful application review for evidence of competence		

6.5.1. If the CAB applies for any scopes for which it does not have clients and witnessing is required prior to granting the scope in accordance with this Accreditation Rule and IAF MD 17, NBE can accept the application but will not grant accreditation until successful witnessing is completed.

6.6. Maintaining Accreditation and Assessing IAF Technical Clusters

6.6.1. Initial (First) Accreditation Cycle

6.6.1.1. During the initial QMS accreditation cycle, NBE conducts one witnessed audit in each QMS technical cluster for which the CAB is accredited. The witnessed audits may or may not be in critical codes (see section 4 above). This is in addition to the initial accreditation or scope extension witnessed audits.

6.6.1.2. This approach continues until NBE determines the CAB has demonstrated sufficient experience and performance.

6.6.1.3. For CABs accredited by NBE for other standards seeking to add QMS, the QMS accreditation cycle may expire on the same date as the cycle for standards for which the CAB is already accredited; upon initial QMS accreditation, the required witnessed audits will be determined and outlined in the assessment program.

6.6.2. Subsequent Accreditation Cycles

6.6.2.1. In subsequent accreditation cycles after the initial accreditation cycle, required QMS witnessed audits are completed over two accreditation cycles (i.e., up to a 10-year period). Witnessed audits may or may not be for the critical codes (see section 4 above).

6.6.2.2. This approach continues unless the CAB's EATL and/or NBE management recommend requiring all witnessed audits in one accreditation cycle (i.e., up to a five-year period) because of poor performance and/or significant concerns about competence.

6.6.3. NBE will consider witnessed audits of other IAF MLA management systems signatory ABs and witnessed audits conducted for subordinate standards (e.g., AS9100, TL 9000) to fulfill the witnessed audits required per Annex 1; both will be considered by NBE and the CAB when developing and maintaining the assessment program.

7. End User Expected Outcomes for Accredited Certification to ISO 9001

7.1. The expected outcomes for an organization with accredited certification to ISO 9001 are

documented at http://www.iaf.nu/upFiles/CASCO_Expected_Outcomes2018final.pdf.

7.2. The CAB shall have processes to continually communicate and consistently reinforce expected outcomes with auditors, certification personnel, customers, and other stakeholders.

8. Requirements for Transition to ISO 9001:2015

8.1. IAF established a transition period of three years from the date of publication of ISO 9001:2015, and issued Informative Document 9:2015, Transition Planning Guidance for ISO 9001:2015 (published 2015/01/12 and available at www.iaf.nu/articles/Informative_Documents_/32) and Good Practices for ABs and CABs in the Transition to ISO 9001:2015 (to be used as guidance).

8.1.1. IAF resolution 2017-13 requires that as of 2018/03/15, all initial, surveillance, and recertification audits shall be to ISO 9001:2015.

8.2. CAB ISO 9001:2015 Activity with Clients

8.2.1. The expiration date of ISO 9001:2008 certifications issued during the transition period shall correspond to the end of the three-year transition period.

8.2.2. If the CAB conducted transition audits to the FDIS, the CAB must confirm any differences between the FDIS and the published standard with its clients (if applicable) prior to the CAB issuing or reissuing NBE-accredited certificates to ISO 9001:2015.

8.3. Verification of Effective Implementation

8.3.1. NBE will verify continued implementation of the revised system at the CAB's normally scheduled office assessments and at an ISO 9001:2015 witnessed audit during the transition period.

8.3.1.1. All witnessed audits in 2018 and beyond shall be conducted to ISO 9001:2015.

8.3.1.2. If ISO 9001:2008 certificates remain in the marketplace after 2018/09/15, NBE will issue an NCR or suspend the CAB's accreditation.

Annex 1. QMS Technical Clusters and Codes (Scopes) Per IAF MD 17*

Technical Cluster	IAF Code	Description of Economic Sector/Activity	Critical Code
Food	1	Agriculture, forestry and fishing	3
	3	Food products, beverages and tobacco	
	30	Hotels and restaurants	
Mechanical	17	Basic metals and fabricated metal products	22 or 20
	18	Machinery and equipment	
	19	Electrical and optical equipment	
	20	Shipbuilding	
	22	Other transport equipment	
Paper	7a	Limited to "Paper products"	9
	8	Publishing companies	
	9	Printing companies	
Minerals	2	Mining and quarrying	2 or 15
	15	Non-metallic mineral products	
	16	Concrete, cement, lime, plaster, etc.	
Construction	28	Construction	28
	34	Engineering services	
Goods production	4	Textiles and textile products	5 or 14
	5	Leather and leather products	
	6	Wood and wood products	
	14	Rubber and plastic products	
	23	Manufacturing not elsewhere classified	
Chemicals	7b	Limited to "Pulp and paper manufacturing"	12
	10	Manufacture of coke and refined petroleum products	
	12	Chemicals, chemical products and fibres	
Supply	25	Electricity supply	26
	26	Gas supply	
	27	Water supply	
Transport and Waste Management	24	Recycling	24
	31	Transport, storage and communication	
	39	Other social services	
Services	29	Wholesale and retail trade; Repair of motor vehicles, motorcycles and personal and household goods	37 or 33
	32	Financial intermediation; real estate; renting	
	33	Information technology	
	35	Other services	
	37	Education	
	36	Public administration	
Nuclear	11	Nuclear fuel	11
Pharmaceutical	13	Pharmaceuticals	13
Aerospace	21	Aerospace	21
Health	38	Health and social work	38

*For IAF code 7, "a" and "b" added to identify IAF codes split between critical codes.

21.2 ACCREDITATION PROGRAM FOR ISO 14001 ENVIRONMENTAL MANAGEMENT SYSTEMS (EMS)

PREFACE

This Accreditation Rule is to inform certification bodies (CABs) of NBE requirements for accreditation to certify organizations for EMS conforming with ISO 14001.

ACCREDITATION RULE

1. Requirement Documents (current versions unless specified)
 - 1.1. ISO 14001, Environmental management systems – General guidelines on principles, systems and support techniques
 - 1.2. ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems
 - 1.3. ISO/IEC 17021-2, Competence requirements for auditing and certification of environmental management systems
 - 1.4. PR-7-01, NBE Procedure for the Accreditation of Conformity Assessment Bodies, and applicable NBE Accreditation Rules
 - 1.5. IAF MD 17, Witnessing Activities for the Accreditation of Management Systems Certification Bodies
 - 1.6. Other IAF Mandatory Documents as applicable
2. Application Process
 - 2.1. CABs can obtain applications for informational use at www.nbeglobal.org.
 - 2.2. The application process outlined at www.nbeglobal.org must be completed via NBE's Enterprise Quality e-Mail (EQM) when the CAB is ready to apply for EMS accreditation.
 - 2.3. The application fee includes the cost of one assessor day for the off-site documentation review.
3. Initial Assessments for Accreditation
 - 3.1. An NBE accreditation assessor shall conduct a full documentation review.
 - 3.2. After the documents are found acceptable, NBE shall conduct an office assessment and required witnessed audits.
 - 3.2.1. The office assessment shall be conducted on site or remotely (at NBE's discretion) and is conducted to ensure the CAB's certification process for EMS conforms with ISO/IEC 17021- 1 and is effective.
 - 3.2.2. NBE shall witness the CAB conducting a two-stage audit process (stages 1 and 2).
 - 3.2.2.1. The NBE assessment team shall have the same number of members as the CAB audit team.
4. Surveillance Assessments
 - 4.1. NBE shall conduct an annual office assessment and annually witness a CAB team conducting an EMS audit.
 - 4.1.1. When possible, the office assessment shall be conducted concurrently with assessments for other NBE accreditation programs for which the CAB is accredited.
 - 4.1.2. NBE will select the witnessed audit in accordance with this Accreditation Rule, PR-7-01, and IAF MD 17.
 - 4.1.2.1. NBE shall evaluate the CAB's full system audit process during at least one annual witnessed audit (stages 1 and 2 certification audit or recertification).

4.1.2.2. When selecting additional audits to witness in the accreditation cycle, NBE will consider the IAF MD 17 technical clusters (listed in Annex 1 below) for which the CAB is accredited, the CAB's audit activity, and management system findings, and will include audit types such as surveillance, special, multi-site, scope expansion, transfer, integrated, ASRP, and/or ICT.

4.1.3. During the accreditation cycle, NBE shall assess the competence of the CAB during office assessments and witnessed audits for all EMS scopes for which the CAB is accredited.

4.1.4. All EMS assessments shall be planned for and recorded on the NBE assessment program (per PR-7-01), including identification of the competence reviews by the scope of accreditation.

5. Reaccreditation Assessments

5.1. NBE shall conduct a document review and an on-site full system office assessment at approximately six months prior to the expiration of accreditation.

5.2. NBE may reduce the CAB's scope of accreditation if competence has not been confirmed during the accreditation cycle. NBE will consider if the CAB is in the first or second accreditation cycle per IAF MD 17 and as outlined below.

6. Scope of Accreditation

6.1. The scope of accreditation shall be for IAF scopes specified in IAF ID 1 and further defined in IAF MD 17, based on assessment of the CAB in accordance with IAF MD 17. IAF scopes, technical clusters, and critical codes are listed in Annex 1 (following).

6.2. During the initial accreditation process, the CAB shall identify all desired scopes in the application. To expand the scope after initial accreditation, the CAB shall provide a completed scope extension application (via EQM) for each desired scope.

6.3. The application process for initial accreditation or extension of scope shall include review of evidence demonstrating an appropriate level of competence for each scope for which the CAB applies.

6.4. A competent accreditation assessor or technical reviewer will review the application and documentation, including the CAB's competencies and processes for the specific scope, and prepare a written response on the CAB's conformance.

6.5. After NBE confirms competence for each scope identified in the CAB's application, NBE will determine the witnessing needed for the scopes, considering the CAB's applicant clients and technical clusters per Annex 2 and as defined in Table 1 (below):

Table 1.

Requested Scope	Cluster (per Annex 1)	Witnessing Requirements (per IAF MD 17)	
Scope is a critical code	Cluster with no other critical codes	Witnessing required	
	Cluster with "or" other critical codes	At least one critical code has been witnessed	No witnessing required
		No critical code has been witnessed	Witnessing required
		After a witnessed audit in a critical code has been successfully completed, additional critical and non-critical codes in the same cluster may be granted following successful application review for evidence of competence	
	Cluster with "and" other critical	Witnessing critical code required	

	codes	After a witnessed audit in a critical code has been successfully completed, additional non- critical codes in the same cluster may be granted following successful application review for evidence of competence	
Scope is not a critical code	CAB scope of accreditation includes no codes in the cluster	Witnessing in a critical or non-critical code needed	After a successful witnessed audit in a critical or non-critical code, the non-critical code sought can be granted following successful application review for evidence of competence
	CAB scope of accreditation includes code(s) in the cluster	Witnessing in a critical or non-critical code previously completed	Non-critical code sought can be granted without an additional witnessed audit following successful application review for evidence of competence
	After a witnessed audit has been successfully completed for a non- critical code, additional non-critical codes in the same cluster may be granted following successful application review for evidence of competence		

6.5.1. If the CAB applies for any scopes for which it does not have clients and witnessing is required prior to granting the scope in accordance with this Accreditation Rule and IAF MD 17, NBE can accept the application but will not grant accreditation until successful witnessing is completed.

6.6. Maintaining Accreditation and Assessing IAF Technical Clusters

6.6.1. Initial (First) Accreditation Cycle

6.6.1.1. During the initial EMS accreditation cycle, NBE conducts one witnessed audit in each EMS technical cluster for which the CAB is accredited. The witnessed audits may or may not be in critical codes (see section 4 above). This is in addition to the initial accreditation or scope extension witnessed audits.

6.6.1.1. This approach continues until NBE determines the CAB has demonstrated sufficient experience and performance.

6.6.1.3. For CABs accredited by NBE for other standards seeking to add EMS, the EMS accreditation cycle may expire on the same date as the cycle for standards for which the CAB is already accredited; upon initial EMS accreditation, the required witnessed audits will be determined and outlined in the assessment program.

6.6.2. Subsequent Accreditation Cycles

6.6.2.1. In subsequent accreditation cycles after the initial accreditation cycle, required EMS witnessed audits may be completed over two accreditation cycles (i.e., up to a 10-year period). Witnessed audits may or may not be for the critical codes (see section 4 above).

6.6.2.2. This approach continues unless the CAB's EATL and/or NBE management recommend requiring all witnessed audits in one accreditation cycle (i.e., up to a five-year period) because of poor performance and/or significant concerns about competence.

6.6.3. NBE will consider witnessed audits of other IAF MLA management systems signatory ABs and witnessed audits conducted for subordinate standards (e.g., RC14001) to fulfill the witnessed audits required per Annex 1; both will be considered by NBE and the CAB when developing and maintaining the assessment program.

7. End User Expected Outcomes for Accredited Certification to ISO 14001

- 7.1. The expected outcomes for an organization with accredited certification to ISO 14001 are documented at https://www.iaf.nu/upFiles/CASCO_Expected_Outcomes2018final.pdf.
- 7.2. The CAB shall have processes to continually communicate and consistently reinforce expected outcomes with auditors, certification personnel, customers, and other stakeholders.
8. Requirements for Transition to ISO 14001:2015
- 8.1. IAF established a transition period of three years from the date of publication of ISO 14001:2015 and issued IAF Informative Document 10:2015, Transition Planning Guidance for ISO 14001:2015 (published 2015/02/27 and available at www.iaf.nu/upFiles/IAFID10Transition_ISO14001publicationversion27022015.pdf) and Good Practices for ABs and CABs in the Transition to ISO 14001:2015 (to be used as guidance).
- 8.1.1. IAF resolution 2017-13 requires that as of 2018/03/15, all initial, surveillance, and recertification audits shall be to ISO 14001:2015.
- 8.2. CAB ISO 14001:2015 Activity with Clients
- 8.2.1. The expiration date of ISO 14001:2004 certifications issued during the transition period shall correspond to the end of the three-year transition period.
- 8.2.1. If the CAB conducted transition audits to the FDIS, the CAB must confirm any differences between the FDIS and the published standard with its clients (if applicable) prior to the CAB issuing or reissuing NBE-accredited certificates to ISO 14001:2015.
- 8.3. Verification of Effective Implementation
- 8.3.1. NBE will verify continued implementation of the revised system at the CAB's next normally scheduled office assessments and at an ISO 14001:2015 witnessed audit during the transition period.
- 8.3.1.1. All witnessed audits in 2018 and beyond shall be conducted to ISO 14001:2015.
- 8.3.1.2. If ISO 14001:2004 certificates remain in the marketplace after 2018/09/15, NBE will issue an NCR or suspend the CAB's accreditation.

Annex 2. EMS Technical Clusters and Codes (Scopes) Per IAF MD 17*

Note: While the scope of accreditation is the economic sector/activity, the CAB needs to demonstrate competence for the major environmental aspects commonly associated with organizations in the sector/activity. It is understood that the environmental aspects will be unique for each organization within a scope.

Technical Cluster	IAF Code	Description of Economic Sector/Activity	Critical Code
Agriculture, forestry and fishing	1	Agriculture, forestry and fishing	1
Food	3	Food products, beverages and tobacco	3
	30	Hotels and restaurants	
Mechanical	17a	Limited to "Fabricated metal products"	20 or 21
	18	Machinery and equipment	
	19	Electrical and optical equipment	
	20	Shipbuilding	
	21	Aerospace	
	22	Other transport equipment	
Paper	7a	Limited to "Paper products"	9
	8	Publishing companies	
	9	Printing companies	
Construction	28	Construction	28
	34	Engineering services	
Goods production	4	Textiles and textile products	4 and 5
	5	Leather and leather products	
	6	Wood and wood products	
	23	Manufacturing not elsewhere classified	
Chemicals	7b	Limited to "Pulp and paper manufacturing"	7, 10, 12, and 13
	10	Manufacture of coke and refined petroleum products	
	12	Chemicals, chemical products and fibres	
	13	Pharmaceuticals	
	14	Rubber and plastic products	
	15	Non-metallic mineral products	
	16	Concrete, cement, lime, plaster, etc.	
	17b	Limited to "Base metals production"	
Mining and quarrying	2	Mining and quarrying	2
Supply	25	Electricity supply	25 or 26
	26	Gas supply	
	27	Water supply	
Transport and waste management	31	Transport, storage and communication	24 and 39**
	24	Recycling	
	39	Other social services	
Services	29	Wholesale and retail trade; Repair of motor vehicles, motorcycles and personal and household goods	29 or 35 or 36
	32	Financial intermediation; real estate; renting	
	33	Information technology	
	35	Other services	
	36	Public administration	
	37	Education	
Nuclear	11	Nuclear fuel	11
Health	38	Health and social work	38

*For IAF codes 7 and 17, "a" and "b" added to identify IAF codes split between clusters. | **Critical code 39 limited to NACE 37, 38.1, 38.2, 39.

21.3 ACCREDITATION PROGRAM FOR ISO 22000 FOOD SAFETY MANAGEMENT SYSTEMS (FSMS)

PREFACE

This Accreditation Rule is to inform certification bodies (CABs) of NBE requirements for accreditation to certify organizations for FSMS conforming with ISO 22000.

ACCREDITATION RULE

1. Requirement Documents (current versions unless specified)
 - 1.1. ISO 22000, Food safety management systems – Requirements for any organization in the food chain
 - 1.2. ISO/TS 22003, Food safety management systems – Requirements for bodies providing audit and certification of food safety management systems
 - 1.2.1. The clause numbering differs from ISO/IEC 17021 to ISO/IEC 17021-1 and ISO/TS 22003:2013 aligns with ISO/IEC 17021 and does not align with ISO/IEC 17021-1
 1. NBE will continue to apply ISO/TS 22003:2013 for FSMS-accredited CABs.
 - 1.3. ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems
 - 1.4. IAF Mandatory Document 16, Application of ISO/IEC 17011 for the Accreditation of Food Safety Management Systems (FSMS) Certification Bodies
 - 1.5. PR-7-01, NBE Procedure for the Accreditation of Conformity Assessment Bodies, and applicable NBE Accreditation Rules
 - 1.6. Other IAF Mandatory Documents as applicable
2. Application Process
 - 2.1. CABs can obtain applications for informational use at www.nbeglobal.org.
 - 2.2. The application process outlined at www.nbeglobal.org must be completed via NBE's Enterprise Quality e-Mail (EQM) when the CAB is ready to apply for FSMS accreditation.
 - 2.3. The application fee includes the cost of one assessor day for the off-site documentation review.
3. Initial Assessments for Accreditation
 - 3.1. An NBE accreditation assessor shall conduct a full documentation review.
 - 3.2. After the documents are found acceptable, NBE shall conduct an office assessment and required witnessed audits.
 - 3.2.1. The office assessment shall be conducted on site or remotely (at NBE's discretion) and is conducted to ensure the CAB's certification process for FSMS conforms with ISO/IEC 17021-1 and ISO/TS 22003 and is effective.
 - 3.2.2. NBE shall witness the CAB conducting a two-stage audit process (stages 1 and 2) to ISO 22000.
 - 3.2.2.1. For initial accreditation, at least one witnessed audit is required in the cluster for the categories requested. One witnessed audit may be sufficient for more than one category.
 - 3.2.2.2. The NBE assessment team shall have the same number of members as the CAB audit team.
 - 3.2.2.3. Because of the level of expertise needed, in accordance with IAF MD 16, NBE may use technical experts for ISO 22000 witnessed audits. NBE will invoice the CAB for the fees and expenses of the technical

expert.

4. Surveillance Assessments

4.1. NBE shall conduct an annual office assessment and annually witness the CAB conducting an FSMS audit.

4.1.1. When possible, the office assessment shall be conducted concurrently with assessments for other accreditation programs for which the CAB is accredited.

4.1.2. During the accreditation cycle, NBE shall evaluate the CAB's full system audit process during at least one annual witnessed audit (stages 1 and 2 certification audit or recertification). In accordance with FSMS program requirements, NBE will make witnessing initial certification audits a priority; however, the selection will be based on the CAB's activity and performance per NBE Accreditation Rule PR-7-01. The additional witnessed audits required in the accreditation cycle are based on the CAB's audit activity and management system findings, and include audit types such as surveillance, special, multi-site, scope expansion, transfer, integrated, ASRP, and/or CAAT. Accreditation Rule PR-7-01 outlines the witnessed audit scheduling process.

4.1.2.1. At least one witnessed audit shall be conducted in cluster 2 each year (as defined in IAF MD 16).

4.1.2.2. During the accreditation cycle at least one witnessed audit shall be conducted in all other clusters for which the CAB is accredited, with consideration given to higher risk categories.

4.1.2.3. IAF MD 16 states that initial certification audits should be witnessed. NBE will determine when an initial certification audit instead of a recertification should be witnessed, based on the CAB's activity and performance.

4.1.2.4. NBE will consider witnessing FSSC audits in lieu of ISO 22000 audits; however, an upgrade audit from ISO 22000 to FSSC is not acceptable. NBE's decision depends on the CAB's scope of activity, amount of ISO 22000 and FSSC activity, and previous assessment results.

4.1.3. Because of the level of expertise needed, in accordance with IAF MD 16, NBE may use technical experts for ISO 22000 witnessed audits. NBE will invoice the CAB for the fees and expenses of the technical expert.

5. Reaccreditation Assessments

5.1. NBE shall conduct a document review and an on-site office assessment at approximately six months prior to the expiration of accreditation.

5.1.1. The NBE assessment team shall include a member with food expertise per IAF MD 16.

6. Scope of Accreditation

6.1. The scope of accreditation shall be for the food categories specified in ISO/TS 22003 based on assessment of the CAB in accordance with IAF MD 16. Food categories and clusters are outlined in Annex 3.

6.1.1. For extensions of scope within an accredited cluster, a witnessed audit is not required.

6.1.2. For extensions of scope in a new (not accredited) cluster, a witnessed audit is required.

6.2. During the initial accreditation process, NBE will determine the witnessing needed for the food categories sought by the CAB.

6.3. To expand the scope of accreditation, the CAB shall provide a completed scope extension application (via EQM) that includes evidence demonstrating an appropriate level of competence for the desired categories.

6.3.1. A competent accreditation assessor or technical reviewer will review the application and documentation, including the CAB's competencies and process for the specific food categories, and prepare a written response on the CAB's conformance, which shall result in one of the following recommendations:

- a. Require a witnessed audit prior to granting the food category.
- b. Grant the food category without a witnessed audit.

- c. Grant the food category with a witnessed audit required at the first opportunity after accreditation.
 - d. Not grant the food category.
7. Requirements for Transition to ISO 22000:2018
- 7.1. IAF Resolution 2018-15 established a transition period of three years from the date of publication of ISO 22000:2018, with the transition deadline being no later than 2021/06/29.
- 7.2. CAB ISO 22000:2018 Activity with Clients
- 7.2.1. The expiration date of ISO 22000:2005 certifications issued during the transition period shall be 2021/06/29, corresponding the end of the three-year transition period.
- 7.2.2. Prior to the CAB's transition with NBE, the CAB can conduct transition audits to ISO 22000; however, the CAB cannot issue or reissue NBE-accredited certificates until the CAB's accreditation has been transitioned by NBE.
- 7.2.3. If the CAB conducted transition audits to the FDIS, the CAB must confirm any differences between the FDIS and the published standard with its clients (if applicable) prior to the CAB issuing or reissuing NBE-accredited certificates to ISO 22000:2018.
- 7.3. CAB Transition Application Process
- 7.3.1. The CAB shall apply for transition by 2019/03/31 following the application process in EQM.
- 7.3.2. The ISO 22000 transition application specifies the evidence required from the CAB.
- 7.3.3. NBE will assign an EATL or technical reviewer to review the application and supporting evidence.
- 7.3.4. The reviewer typically will recommend transition to NBE management after the application review is successfully completed.
- 7.3.5. If the CAB's transition process, including evidence, cannot be verified during the application review, NBE's reviewer shall recommend an office or witness assessment.
- 7.4. Transition Decision Process
- 7.4.1. After the CAB successfully completes the transition activity, NBE management will make a transition decision in accordance with PR-7-01.
- 7.4.2. When the CAB has successfully transitioned, NBE will update EQM and NBE's website.
- 7.5. NBE encourages early transition to support market demands; the CAB shall be transitioned (including NBE's transition decision) by 2019/06/29 (i.e., within 12 months after publication of the standard).
- 7.5.1. NBE established additional critical dates to support the transition timeline as indicated in Table 1 below.
- 7.5.2. NBE will follow the process outlined in PR-7-01 for suspension and withdrawal of accreditation.

Table 1.

Critical Date	CAB Required Action	NBE Action
Nine months after publication of ISO 22000:2018 (2019/03/31)	Apply for transition	Recommend suspension if CAB misses deadline
	New FSMS accreditation applications for ISO 22000:2018 only	Not accept any new FSMS applications to ISO 22000:2005
Twelve months after publication of ISO 22000:2018 (2019/06/29)	Achieve transition	Recommend suspension if CAB misses deadline
Fifteen months after publication of ISO 22000:2018 (2019/09/30)	Achieve transition	Recommend withdrawal if CAB misses deadline

Determined for each CAB following transition	NBE office assessment to verify effective implementation of transition process and activity	
Determined for each CAB following transition	NBE witnessed audit to verify effective implementation of the transition process and activity	
Before or at end of three-year transition period (2021/06/29)	All ISO 22000:2005 certificates expire	Recommend suspension if CAB misses deadline

7.6. Verification of Effective Implementation

7.6.1. NBE will verify continued implementation of the revised system at the CAB's normally scheduled office assessments and at an ISO 22000:2018 witnessed audit during the transition period.

7.6.1.1. All witnessed audits in 2021 and beyond shall be conducted to ISO 22000:2018.

7.6.1.2. If ISO 22000:2005 certificates remain in the marketplace after 2021/06/29, NBE will issue an NCR or suspend the CAB's accreditation.

7.7. Requirement for Data Collection

7.7.1. On a regular basis, the CAB shall provide the following data:

- Number of NBE-accredited certifications for ISO 22000:2005
- Number of NBE-accredited certifications for ISO 22000:2018

7.7.2. The data shall be collected by the CAB the last day of each month and provided to NBE by the 15th of the following month.

7.7.3. Submittals are to be completed and provided to NBE according to the schedule indicated in Table 2 below.

Table 2.

Reporting Period End Date	Due Date
2019/01/31	February 15
2019/06/30	July 15
2020/01/31	February 15
2020/06/30	July 15
2021/01/31	February 15
2021/03/31	April 15
2021/06/29 (end of transition period)	July 15

Annex 3. Food Chain Categories (in Accordance With ISO/TS 22003:2013 and IAF MD 16)

Cluster ¹		Category		Subcategory
1. Farming	A	Farming of animals	AI	Farming of animals for meat/milk/eggs/honey
			AII	Farming of fish and seafood
	B	Farming of plants	BI	Farming of plants (other than grains and pulses)
			BII	Farming of grains and pulses
2. Food and feed processing	C	Food manufacturing	CI	Processing of perishable animal products
			CII	Processing of perishable plant products
			CIII	Processing of perishable animal and plant products (mixed products)
			CIV	Processing of ambient stable products
	D	Animal food production	DI	Production of feed
			DII	Production of pet food
3. Catering	E	Catering		
4. Retail, transport and storage	F	Distribution	FI	Retail/wholesale
			FII	Food broking/trading
	G	Provision of transportation and storage services	GI	Provision of transportation and storage services for perishable food and feed
			GII	Provision of transportation and storage services for ambient stable food and feed
5. Auxiliary services	H	Services		
	I	Production of food packaging and packaging		
	J	Equipment manufacturing		
6. Biochemical	K	Production of (bio)chemicals		

¹: Clusters are intended to be used for accreditation scope of accredited certification bodies, and for accreditation bodies witnessing certification bodies.

21.4 ACCREDITATION PROGRAM FOR ISO/IEC 27001 INFORMATION SECURITY MANAGEMENT SYSTEMS (ISMS)

PREFACE

This Accreditation Rule is to inform certification bodies (CABs) of NBE requirements for accreditation to certify organizations for ISMS conforming with ISO/IEC 27001.

ACCREDITATION RULE

1. Requirement Documents (current versions unless specified)
 - 1.1. ISO/IEC 27001, Information Technology – Security techniques – Information Security Management Systems – Requirements
 - 1.2. ISO/IEC 27006, Information Technology – Security techniques – Requirements for bodies providing audit and certification of information security managementsystems
 - 1.3. ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems
 - 1.4. PR-7-01, NBE Procedure for the Accreditation of Conformity Assessment Bodies, and applicable NBE Accreditation Rules
 - 1.5. IAF Mandatory Documents as applicable
2. Application Process
 - 2.1. CABs can obtain applications for informational use www.nbeglobal.org.
 - 2.2. The application process outlined at www.nbeglobal.org must be completed via NBE's Enterprise Quality e-Mail (EQM) when the CAB is ready to apply for ISMS accreditation.
 - 2.3. The application fee includes the cost of one assessor day for the off-site documentation review.
3. Initial Assessments for Accreditation
 - 3.1. An NBE accreditation assessor shall conduct a full documentation review.
 - 3.2. After the documents are found acceptable, NBE shall conduct an on-site office assessment and required witnessed audits.
 - 3.2.1. The office assessment shall be conducted on site or remotely (at NBE's discretion) and is conducted to ensure the CAB's certification process for ISMS conforms with ISO/IEC 17021- 1 and ISO/IEC 27006 and is effective.
 - 3.2.2. NBE shall witness the CAB conducting a two-stage audit process (stages 1 and 2).
 - 3.2.2.1. The NBE assessment team shall have the same number of members as the CAB audit team.
4. Surveillance Assessments
 - 4.1. NBE shall conduct an annual office assessment and annually witness the CAB conducting an ISMS audit.
 - 4.1.1. When possible, the office assessment shall be conducted concurrently with assessments for other NBE accreditation programs for which the CAB is accredited.
 - 4.1.2. During the accreditation cycle, NBE shall evaluate the CAB's full system audit process during at least one annual witnessed audit (stages 1 and 2 certification auditor recertification). The additional witnessed

audits required in the accreditation cycle are based on the CAB's audit activity and management system findings, and include audit types such as surveillance, special, multi-site, scope expansion, transfer, integrated, ASRP, and/or CAAT. NBE Accreditation Rule PR-7-01 outlines the witnessed audit scheduling process and the process for potentially altering the types of audits witnessed.

5. Re-accreditation Assessments

5.1. NBE shall conduct a document review and an on-site full system office assessment at approximately six months prior to the expiration of accreditation.

21.5 ACCREDITATION PROGRAM FOR ISO 45001 & OHSAS 18001 OCCUPATIONAL HEALTH AND SAFETY MANAGEMENT SYSTEMS (OHSMS)

PREFACE

This Accreditation Rule is to inform certification bodies (CABs) of NBE requirements for accreditation to certify organizations for OHSMS conforming with ISO 45001, OHSAS 18001.

ACCREDITATION RULE

1. Requirement Documents (current versions unless specified)
 - 1.1. For All OHSMS Standards
 - 1.1.1. ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems
 - 1.1.2. PR-7-01, NBE Procedure for the Accreditation of Conformity Assessment Bodies, and applicable NBE Accreditation Rules
 - 1.1.3. IAF Mandatory Documents as applicable
 - 1.2. For ISO 45001
 - 1.2.1. ISO 45001, Occupational health and safety management systems – Requirements with guidance for use
 - 1.2.2. IAF Mandatory Document 21, Requirements for the Migration to ISO 45001:2018 from OHSAS 18001:2007
 - 1.2.3. IAF Mandatory Document 22, Application of ISO/IEC 17021-1 for the Certification of Occupational Health and Safety Management Systems (OH&SMS) (effective upon CAB client's initial certification or migration to ISO 45001)
 - 1.2.4. IAF Mandatory Document 17, Witnessing Activities for the Accreditation of Management Systems Certification Bodies
 - 1.2.4.1. IAF MD 22 requirements have been incorporated in IAF MD 17. Upon the effective date (2020/05/07), IAF MD 17 will apply for witnessed assessments.
 - 1.2.5. ISO/IEC 17021-10, Conformity Assessment – Competence requirements for auditing and certification of occupational health and safety management systems (effective upon CAB client's initial accreditation or migration to ISO 45001)
 - 1.3. For OHSAS 18001
 - 1.3.1. OHSAS 18001, Occupational health and safety management systems
2. Application Process
 - 2.1. CABs can obtain applications for informational use at www.nbeglobal.org.
 - 2.2. The application process outlined at www.nbeglobal.org must be completed via NBE's Enterprise Quality e-Mail (EQM) when the CAB is ready to apply for accreditation.
 - 2.3. The application fee includes the cost of one assessor day for the off-site documentation review.
 - 2.4. Following publication of ISO 45001, NBE accepts applications only for ISO 45001 and no longer accepts applications for OHSAS 18001.
3. Initial Assessments for Accreditation

- 3.1. An NBE accreditation assessor shall conduct a full documentation review.
- 3.2. After the documents are found acceptable, NBE shall conduct an office assessment and required witnessed audits.
 - 3.2.1. The office assessment shall be conducted on site or remotely (at NBE's discretion) and is to be conducted to ensure the CAB's certification process for ISO 45001 conforms with ISO/IEC 17021-1, ISO/IEC 17021-10, and IAF MD 22 and is effective.
 - 3.2.2. NBE shall witness the CAB conducting a two-stage audit process (stages 1 and 2).
 - 3.2.2.1. The NBE assessment team shall have the same number of members as the CAB audit team.
4. Surveillance Assessments
 - 4.1. NBE shall conduct an annual office assessment and annually witness the CAB conducting an OHSMS audit.
 - 4.1.1. When possible, the office assessment shall be conducted concurrently with assessments for other NBE programs for which the CAB is accredited.
 - 4.1.2. During the accreditation cycle, NBE shall evaluate the CAB's full system audit process during at least one annual witnessed audit (stages 1 and 2 certification audit or recertification). The additional witnessed audits required in the accreditation cycle are based on the CAB's audit activity and management system findings, and include audit types such as surveillance, special, multi-site, scope extension, transfer, integrated, ASRP, and/or NBE Accreditation Procedure (PR-7-01) outlines the witnessed audit scheduling process and the process for potentially altering the types of audits witnessed.
5. Reaccreditation Assessments
 - 5.1. NBE shall conduct a document review and an on-site full system office assessment at approximately six months prior to the expiration of accreditation.
6. Scope of Accreditation
 - 6.1. Scoping for ISO 45001
 - 6.1.1. The scope of accreditation shall be for IAF scopes specified in IAF ID 1 and further defined in IAF MD 22, based on assessment of the CAB in accordance with IAF MD 22. IAF scopes, technical clusters, and critical IAF codes are listed in Annex 1 (following).
 - 6.1.2. During the initial accreditation process, the CAB shall identify all desired scopes in the application. To expand the scope after initial accreditation, the CAB shall provide a completed scope extension application (via EQM) for each desired scope.
 - 6.1.3. The application process for initial accreditation or extension of scope shall include review of evidence demonstrating an appropriate level of competence for each scope for which the CAB applies.
 - 6.1.4. A competent accreditation assessor or technical reviewer will review the application and documentation, including the CAB's competencies and processes for the specific scope, and prepare a written response on the CAB's conformance.
 - 6.1.5. When NBE confirms competence for each scope identified in the CAB's application, NBE will determine the witnessing needed, considering the CAB's applicant clients and technical clusters per Annex 1 and as defined in Table 1 (below):

Table 1.

Requested Scope	Cluster (per Annex 1)	Witnessing Requirements (per IAF MD 22)	
Scope is a critical code	Cluster with no other critical codes	Witnessing required	
	Cluster with “or” other critical codes	At least one critical code has been witnessed	No witnessing needed
		No critical code has been witnessed	Witnessing required
		After a witnessed audit in a critical code has been successfully completed, additional critical and non-critical codes in the same cluster may be granted following successful application review for evidence of competence	
	Cluster with “and” other critical codes	Witnessing critical code required	
		After a witnessed audit in a critical code has been successfully completed, additional non-critical codes in the same cluster may be granted following successful application review for evidence of competence.	
Scope is not a critical code	CAB scope of accreditation includes no codes in the cluster	Witnessing in a critical or non-critical code required	After a successful witnessed audit in a critical or non-critical code, the non-critical code sought can be granted following successful application review for evidence of competence
	CAB scope of accreditation includes code(s) in the cluster	Witnessing in a critical or non-critical code previously completed	Non-critical code sought can be granted without an additional witnessed audit following successful application review for evidence of competence
	After a witnessed audit has been successfully completed for a non-critical code, additional non-critical codes in the same cluster may be granted following successful application review for evidence of competence		

6.1.5.1. If the CAB applies for any scopes for which it does not have clients and witnessing is required prior to granting the scope in accordance with this Accreditation Rule and IAF MD 22, NBE can accept the application but will not grant accreditation until successful witnessing is completed.

6.1.6. Maintaining Accreditation and Assessing IAF Technical Clusters

6.1.6.1. Initial (First) Accreditation Cycle

6.1.6.1.1. During the initial OHSMS accreditation cycle, NBE conducts one witnessed audit in each OHSMS technical cluster for which the CAB is accredited. The witnessed audits may or may not be in critical IAF codes (see section 4 above). This is in addition to the initial accreditation or scope extension witnessed audits.

6.1.6.1.2. This approach continues until NBE determines the CAB has demonstrated sufficient experience and performance.

6.1.6.1.3. For CABs accredited by NBE for other standards seeking to add OHSMS, the OHSMS accreditation

cycle may expire on the same date as the cycle for standards for which the CAB is already accredited; upon initial OHSMS accreditation, the required witnessed audits will be determined and outlined in the assessment program.

6.1.6.2. Subsequent Accreditation Cycles

6.1.6.2.1. In subsequent accreditation cycles after the initial accreditation cycle, required OHSMS witnessed audits may be completed over two accreditation cycles (i.e., up to a 10-year period). Witnessed audits may or may not be for the critical IAF codes (see section 4 above).

6.1.6.2.2. This approach continues unless the CAB's EATL and/or NBE management recommend requiring all witnessed audits in one accreditation cycle (i.e., up to a five-year period) because of poor performance and/or significant concerns about competence.

6.1.6.3. When developing and maintaining the assessment program with the CAB, NBE will consider witnessed audits of other IAF MLA management systems signatory accreditation bodies to fulfill the witnessed audits required per Annex 4.1.; they will be considered by NBE and the CAB when developing and maintaining the assessment program.

6.2. Scoping for OHSAS 18001

6.2.1. To expand the scope of accreditation, the CAB shall provide a completed scope extension application (via EQM) that includes evidence demonstrating an appropriate level of competence for the desired scopes.

6.2.1.1. A competent accreditation assessor or technical reviewer will review the application and documentation, including the CAB's competencies and processes for the specific scopes, and prepare a written response on the CAB's conformance, which shall result in one of the following recommendations:

- a. Require a witnessed audit prior to granting the scope.
- b. Grant the scope without a witnessed audit.
- c. Grant the scope with a witnessed audit required at the first opportunity after accreditation.
- d. Not grant the scope.

7. Competence of CAB Personnel

7.1. Competence for ISO 45001

7.1.1. When determining the competence criteria for ISO 45001, IAF MD 17021-10 and IAF MD 22 shall be used.

7.2. Competence for OHSAS 18001

7.2.1. When determining the competence criteria for OHSMS, the technical areas shall be related to worker health and safety hazards associated with an organization's product and/or service processes. Refer to Annexes 4.2. and 4.3. (following).

8. Migration to ISO 45001 from OHSAS 18001

8.1. IAF, the OHSAS Project Group, and ISO agreed to a three-year migration from the publication date of ISO 45001:2018 [IAF MD 21, 2.1].

8.2. IAF MD 21 details the minimum requirements for migration of the CAB and the organization to ISO 45001 and notes that "Any reference to OHSAS 18001:2007 also applies to any national equivalent standard."

8.3. NBE's migration process is outlined in the ISO 45001:2018 migration application and this Accreditation Rule, including Table 2 (below).

8.4. Migration Application Process

- 8.4.1. The CAB shall apply for migration following the application process in EQM.
- 8.4.2. The ISO 45001 migration application specifies the evidence required from the CAB.
- 8.4.3. NBE will assign an EATL or technical reviewer to review the application and supporting evidence.
- 8.4.4. If the application review is successfully completed, the reviewer will recommend migration to NBE management.
- 8.4.4.1. If the CAB's documented system, including evidence, cannot be verified during the document review, NBE's reviewer shall recommend an office and/or witness assessment and NBE will work with the CAB to expedite scheduling of the assessment(s).
- 8.5. Migration Decision Process
- 8.5.1. After the CAB successfully completes the migration activity, NBE management will make a migration decision in accordance with PR-7-01.
- 8.5.2. When the CAB has successfully migrated, NBE will update EQM and NBE's website.
- 8.6. Verification of Effective Implementation
- 8.6.1. NBE will confirm full implementation of the revised system at the CAB's next normally scheduled office assessment and at an ISO 45001 witnessed audit during the migration period.
- 8.6.2. NBE will try to conduct the witnessed audit at the earliest possible opportunity following the CAB's migration.
- 8.6.3. The witnessed audit will fulfill an annual required witnessed audit and the scheduling process will be in accordance with Accreditation Rule PR-7-01.
- 8.7. NBE encourages early migration to support market demands; the CAB shall be migrated (including NBE's migration decision) within nine months after publication of the standard (i.e., by December 31, 2018).
- 8.7.1. NBE has established additional critical dates to support the migration timeline as indicated in Table 2 (below).
- 8.7.2. NBE will follow the process outlined in PR-7-01 for suspension and withdrawal of accreditation.
- 8.8. Migration for CABs with Certified OHSMS Clients
- 8.8.1. The expiration date of ISO 45001 certifications issued during the migration period shall correspond to the end of the three-year migration period (i.e., March 31, 2021).
- 8.8.2. The CAB can conduct ISO 45001 migration audits to the standard prior to the CAB's migration with NBE, provided the CAB has determined it is conforming to IAF MD 21 and IAF MD 22.
- 8.8.3. After the effective date of the CAB's ISO 45001 accreditation, the CAB can issue NBE- accredited certificates to ISO 45001 in alignment with the requirements in PR-7-01 (certification documents section).

Table 2.

Critical Date	CAB Required Action	NBE Action
August 31, 2018	Apply for migration	Recommend suspension if CAB misses deadline
December 31, 2018	Achieve migration	Recommend suspension if CAB misses deadline
March 31, 2019	Achieve migration	Recommend withdrawal if CAB misses deadline

Date determined for each CAB following migration	NBE office assessment to verify effective implementation of migration process and activity	
Date determined for each CAB following migration	NBE witnessed audit to verify effective implementation of migration process and activity	
Before or at end of three-year migration period (March 31, 2021)	All OHSAS 18001 certificates expire	All accreditations for OHSAS 18001, will be withdrawn

8.9. Requirement for Migration Data Collection

8.9.1. On the frequency defined in Table 3 (below), the CAB shall provide the following data:

- a. Number of NBE-accredited certifications for ISO 45001:2018
- b. Number of NBE-accredited certifications each for OHSAS 18001

8.9.3. Submittals are to be completed and provided to NBE according to the following schedule, with submittals increasing in frequency as the migration deadline nears:

Table 3.

Reporting Period End Date	Due Date
2018/12/31	January 15, 2019
2019/06/31	July 15, 2019
2019/12/31	January 15, 2020
2020/03/31	April 15, 2020
End of each month 2020/06/31 through 2021/03/31 (end of migration period)	15th of each following month

Annex 4.1. ISO 45001 Technical Clusters and IAF Codes (Scopes) Per IAF MD 22*

Technical Cluster	IAF Code	Description of Economic Sector/Activity	Critical Code
Agriculture, forestry and fishing	1	Agriculture, forestry and fishing	1
Food	3	Food products, beverages and tobacco	3
	30	Hotels and restaurants	
Mechanical	17a	Limited to "Fabricated metal products"	20 and 21
	18	Machinery and equipment	
	19	Electrical and optical equipment	
	20	Shipbuilding	
	21	Aerospace	
	22	Other transport equipment	
Paper	7a	Limited to "Paper products"	9
	8	Publishing companies	
	9	Printing companies	
Construction	28	Construction	28
	34	Engineering services	
Goods production	4	Textiles and textile products	4 (with tanning) and 5 or 6
	5	Leather and leather products	
	6	Wood and wood products	
	23	Manufacturing not elsewhere classified	
Chemicals	7b	Limited to "Pulp and paper manufacturing"	7 and 10 and 12 and 13 and 16 or 17
	10	Manufacture of coke and refined petroleum products	
	12	Chemicals, chemical products and fibres	
	13	Pharmaceuticals	
	14	Rubber and plastic products	
	15	Non-metallic mineral products	
	16	Concrete, cement, lime, plaster, etc.	
	17b	Limited to "Base metals production"	
Mining and quarrying	2	Mining and quarrying	2
Supply	25	Electricity supply	25 or 26
	26	Gas supply	
	27	Water supply	
Transport and waste management	31	Transport, storage and communication	31 (limited to dangerous goods), and 24 or 39 (limited to NACE 37, 38.1, 38.2, 39)
	24	Recycling	
	39	Other social services	
Services	29	Wholesale and retail trade; Repair of motor vehicles, motorcycles and personal and household goods	29 or 35 or 36
	32	Financial intermediation; real estate; renting	
	33	Information technology	
	35	Other services	
	36	Public administration	
	37	Education	
Nuclear	11	Nuclear fuel	11
Health	38	Health and social work	38

*For IAF codes 7 and 17, "a" and "b" added to identify IAF codes split between critical codes.

Annex 4.2. OHSAS 18001 Scope Table

Note: While the scope of accreditation is the economic sector/activity, the CAB needs to demonstrate occupational health and safety competencies commonly associated with organizations in the economic category. It is understood that within a scope the occupational health and safety competencies will be unique for each organization and may differ from those identified in this table. Annex 3 provides additional detail on occupational health and safety competencies.

Scope	Description of Economic Sector/Activity	NACE Division/Group/Class (rev.2)	Occupational Health Competencies										Risk Level
			Commercial diving operations	Construction	Elevated work	Emergency services	General working conditions	Heavy work/maintenance	Lifting	Occupational health & safety	Process safety	Transportation	
1	Agriculture, forestry and fishing	01, 02, 03						X	X	X		X	1
2	Mining and quarrying	05, 06, 07, 08, 09		X	X			X	X	X		X	1
3	Food products, beverages, and tobacco	10, 11, 12						X	X	X	X		1
4	Textiles and textile products	13, 14						X		X			1
5	Leather and leather products	15						X		X			1
6	Wood and wood products	16						X	X	X			1
7	Pulp, paper and paper products	17						X	X	X			1
8	Publishing companies	58.1, 59.2						X		X			1
9	Printing companies	18						X		X			1
10	Manufacture of coke and refined petroleum products	19						X	X	X	X		1
11	Nuclear fuel	24, 46						X		X	X		2
12	Chemicals, chemical products and fibers	20			X			X		X	X		2
13	Pharmaceuticals	21						X		X	X		1
14	Rubber and plastic products	22						X		X	X		1
15	Non-metallic mineral products	23 except 23.5 and 23.6						X		X	X		1
16	Concrete, cement, lime, plaster, etc.	23.5, 23.6						X		X	X	X	1
17	Basic materials and fabricated metal products	24 except 24.46, 25 except 25.4, 33.11						X	X	X	X		1
18	Machinery and equipment	25.4, 28, 30.4, 33.12, 33.2			X			X	X				1
19	Electrical and optical equipment	26, 27, 33.13, 33.14, 95.1						X		X			1
20	Shipbuilding	30.1, 33.15	X	X	X			X	X	X		X	1
21	Aerospace	30.3, 33.16		X	X	X		X	X	X		X	1
22	Other transport equipment	29, 30.2, 30.9, 33.17		X				X	X	X		X	1
23	Manufacturing not elsewhere classified	31, 32, 33.19						X		X			1
24	Recycling	38.3								X			1
25	Electricity supply	35.1			X			X		X		X	1
26	Gas supply	35.2						X		X			1
27	Water supply	35.3, 36						X		X			1
28	Construction	41, 42, 43	X	X	X			X	X	X			2
29	Wholesale and retail trade; repair of motor vehicles, motorcycles and personal and household goods	45, 46, 47, 95.2				X						X	2
30	Hotels and restaurants	55, 56				X							1
31	Transport, storage and communication	49, 50, 51, 52, 53 61						X	X	X		X	2
32	Financial intermediation; real estate; renting	64, 65, 66, 68, 77				X							1
33	Information technology	58.2, 62, 63.1				X							1
34	Engineering services	71, 72, 74 except 74.2 and 74.3				X							1
35	Other services	69, 70, 73, 74.2, 74.3, 78, 80, 81, 82		X				X	X	X			1
36	Public administration	84				X							1
37	Education	85				X							1
38	Health and social work	75, 86, 87, 88				X				X			1
39	Other social services	37, 38.1, 38.2, 39, 59.1, 60, 63.9, 79, 90, 91, 92, 93, 94, 96				X				X			1

Annex 4.3. Occupational Health and Safety Competencies

Construction

Underground construction, caissons, cofferdams and compressed Air Concrete and masonry
Steel erection
Power transmission and distribution systems Demolition
Blasting and the use of explosives

Commercial Diving Operations Elevated Work

Scaffolds, ladders and other working surfaces Stairways and ladders
Fall protection

Emergency Services

Lifesaving equipment

General Working Conditions

Housekeeping
Walking-working surfaces
Means of egress: doors, hatches and other means of access Signals and barricades
Materials handling storage, use and disposal

Heavy Work/Maintenance Activities

Machinery, electrical machinery and machine guarding
Hand and portable powered tools and other hand-held equipment Welding, cutting, brazing and heating
Compressed gas and compressed air equipment Electrical
Portable, unfired pressure vessels, drums and containers Excavations

Lifting

Cranes and derricks
Powered platforms, man lifts and vehicle-mounted work platforms Helicopters, hoists, elevators and conveyors
Materials and cargo handling gear, equipment and rigging Rollover protective structures; overhead protection

Occupational Health and Environmental Control

Toxic and hazardous materials/substances
Confined and enclosed spaces and other dangerous atmospheres General environmental controls
Personal protective equipment Medical and first aid
Fire protection and prevention

Process Safety Hazardous operations Management of change

Transportation

Motor vehicles, mechanized equipment and marine operations

21.6 ACCREDITATION PROGRAM FOR ISO 50001 ENERGY MANAGEMENT SYSTEMS (ENMS)

PREFACE

This Accreditation Rule is to inform certification bodies (CABs) of NBE requirements for accreditation to certify organizations for EnMS conforming with ISO 50001.

ACCREDITATION RULE

1. Requirement Documents (current versions unless specified)
 - 1.1. ISO 50001, Energy Management Systems – Requirements with guidance for use
 - 1.2. ISO 50003, Energy management systems – Requirements for bodies providing audit and certification of energy management systems
 - 1.3. ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and accreditation of management systems
 - 1.4. PR-7-01, NBE Procedure for the Accreditation of Conformity Assessment Bodies, and applicable NBE Accreditation Rules
 - 1.5. IAF Mandatory Documents as applicable
2. Application Process
 - 2.1. CABs can obtain applications for informational use www.nbeglobal.org.
 - 2.2. The application process outlined at www.nbeglobal.org must be completed via NBE's Enterprise Quality e-Mail (EQM) when the CAB is ready to apply for accreditation.
 - 2.3. The application fee includes the cost of one assessor day for the off-site documentation review.
3. Initial Assessments for Accreditation
 - 3.1. An NBE accreditation assessor shall conduct a full documentation review.
 - 3.2. After the documents are found acceptable, NBE shall conduct an office assessment and required witnessed audits.
 - 3.2.1. The office assessment shall be conducted on site or remotely (at NBE's discretion) and is conducted to ensure the CAB's certification process for EnMS conforms with ISO/IEC 17021-1, ISO 50001 and ISO 50003 and is effective.
 - 3.2.2. NBE shall witness the CAB conducting a two-stage audit process (stages 1 and 2).
 - 3.2.2.1. The NBE assessment team shall have the same number of members as the CAB audit team.
 - 3.2.2.2. Because of the level of expertise needed, NBE may use technical experts for ISO 50001 witnessed audits. NBE will invoice the CAB for the fees and expenses of the technical expert.
4. Surveillance Assessments
 - 4.1. NBE shall conduct an annual office assessment and annually witness the CAB team conducting an ISO 50001 audit.
 - 4.1.1. When possible, the office assessment shall be conducted concurrently with assessments for other NBE accreditation programs for which the CAB is accredited.
 - 4.1.2. During the accreditation cycle, NBE shall evaluate the CAB's full system audit process during at least one annual witnessed audit (stages 1 and 2 certification audit or recertification). One of the annual

witnessed audits (including the stages 1 and 2 certification audits) during the accreditation cycle may be an ISO 50001+SEP audit. The additional witnessed audits required in the accreditation cycle are based on the CAB's audit activity and management system findings, and include audit types such as surveillance, special, multi-site, scope expansion, transfer, integrated, ASRP, and/or ICT. NBE Accreditation Rule PR-7-01 outlines the witnessed audit scheduling process and the process for potentially altering the types of audits witnessed.

4.1.2.1. Because of the level of expertise needed, NBE may use technical experts for ISO 50001 witnessed audits. NBE will invoice the CAB for the fees and expenses of the technical expert.

5. Re-accreditation Assessments

5.1. NBE shall conduct a document review and an on-site full system office assessment at approximately six months prior to the expiration of accreditation.

6. Scope of Accreditation

6.1. There are eight scopes of accreditation, based on the technical areas referred to in ISO 50003. They are:

- a. Industry - light to medium
- b. Industry - heavy
- c. Buildings
- d. Building complexes
- e. Transport
- f. Mining
- g. Agriculture
- h. Energy supply

6.2. The CAB is responsible for ensuring the required competence to support the scopes of accreditation is achieved and maintained. The CAB's competence system and the organization's identified scope shall be able to correlate to the scope of accreditation.

6.3. To expand the scope of accreditation, the CAB shall provide a completed scope extension application (via EQM) that includes evidence demonstrating an appropriate level of competence for the desired scopes.

6.3.1. A competent accreditation assessor or technical reviewer will review the application and documentation, including the CAB's competencies and processes for the specific scopes, and prepare a written response on the CAB's conformance, which shall result in one of the following recommendations:

- a. Require a witnessed audit prior to granting the scope.
- b. Grant the scope without a witnessed audit.
- c. Grant the scope with a witnessed audit required at the first opportunity after accreditation.
- d. Not grant the scope.

7. Expected Outcomes for Accredited Certification to ISO 50001

7.1. An organization with a certified ISO 50001 EnMS is expected to demonstrate improved energy performance through the use of its EnMS.

7.2. The CAB shall have processes to ensure that its auditors and other personnel for certification are knowledgeable of the expected outcomes and consistently reinforce this with its clients.

8. Requirements for Transition to ISO 50001:2018

8.1. IAF agreed to a three-year transition period from the publication date of ISO 50001:2018.

8.2. NBE's transition process is outlined in the ISO 50001:2018 transition application and this Accreditation Rule, including Table 1 below.

8.3. CAB Transition Application Process

8.3.1. The CAB shall apply for transition by 2019/06/21 following the application process in EQM.

8.3.2. The ISO 50001 transition application specifies the evidence required from the CAB.

8.3.3. NBE will assign an EATL or technical reviewer to review the application and supporting evidence.

8.3.4. The reviewer typically will recommend transition to NBE management after the application review is successfully completed.

8.3.4.1. If the CAB's documented system, including evidence, cannot be verified during the application review, NBE's reviewer shall recommend an office assessment and/or witnessed audit and NBE will work with the CAB to expedite scheduling of the assessment(s).

8.4. Transition Decision Process

8.4.1. After the CAB successfully completes the transition activity, NBE management will make a transition decision in accordance with PR-7-01.

8.4.2. When the CAB has successfully transitioned, NBE will update EQM and NBE's website.

8.5. NBE encourages early transition to support market demands; the CAB shall be transitioned (including NBE's transition decision) by 2019/08/21 (i.e., within 10 months after publication of the standard).

8.5.1. NBE has established additional critical dates to support the transition timeline as indicated in Table 1 below.

8.5.2. NBE will follow the process outlined in PR-7-01 for suspension and withdrawal of accreditation.

Table 1

Critical Date	CAB Required Action	NBE Action
2019/01/01	New application must also include ISO 50001:2018	Accept only applications that also include ISO 50001:2018
2019/06/21	Apply for transition	Recommend suspension if CAB misses deadline
2019/08/21	Achieve transition	Recommend suspension if CAB misses deadline
2019/10/21	Achieve transition	Recommend withdrawal if CAB misses deadline
2020/02/21	All Audits conducted by CAB will be to the revised standard, ISO 50001:2018	If CAB uses previous version of standard, identify NCR(s) with potential suspension recommendation
Date determined for each CAB following transition	NBE office assessment to verify effective implementation of transition process and activity	
Date determined for each CAB following transition	NBE witnessed audit to verify effective implementation of transition process and activity	

Before or at end of three-year transition period (2021/08/21)	All ISO 50001:2011 certifications expire	All accreditations for ISO 50001:2011 will be withdrawn
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8.6. Verification of Effective Implementation

8.6.1. NBE will verify continued implementation of the revised system at the CAB's next normally scheduled office assessment and at an ISO 50001:2018 witnessed audit during the transition period.

8.6.2. NBE will conduct the witnessed audit at the earliest possible opportunity following the CAB's transition.

8.6.3. The witnessed audit will fulfill an annual required witnessed audit and the scheduling process will be in accordance with Accreditation Rule PR-7-01.

8.7. Transition for CABs with Certified ISO 50001 Clients

8.7.1. The expiration date of ISO 50001:2011 certifications issued during the transition period shall be 2021/08/21 to correspond to the end of the three-year transition period.

8.7.2. The CAB can conduct ISO 50001 transition audits to the standard prior to the CAB's transition with NBE.

8.7.3. After the effective date of the CAB's ISO 50001:2018 accreditation, the CAB can issue NBE-accredited certificates to ISO 50001:2018 in alignment with the requirements in PR-7-01 (certification documents section).

8.7.3.1. All witnessed audits in 2020 and beyond shall be conducted to ISO 50001:2018.

8.7.3.2. If ISO 50001:2011 certificates remain in the marketplace after 2021/08/21, NBE will issue an NCR or suspend the CAB's accreditation.

8.8. Requirement for Data Collection

8.8.1. On a regular basis, the CAB shall provide the following data:

- Number of NBE-accredited certifications for ISO 50001:2011
- Number of NBE-accredited certifications for ISO 50001:2018

8.8.2. Submittals are to be completed and provided to NBE according to the schedule indicated in Table 2 below.

Table 2

Reporting Period End Date	Due Date
2019/08/31	September 15, 2019
2019/12/31	January 15, 2020
2020/06/30	July 15, 2020
2020/12/31	January 15, 2021
End of each month 2021/01/31 through 2021/08/21(end of transition period)	15th of each following month

21.7 ACCREDITATION PROGRAM FOR ISO 13485 MEDICAL DEVICE QUALITY MANAGEMENT SYSTEMS (QMDS)**PREFACE**

This Accreditation Rule is to inform certification bodies (CABs) of NBE requirements for accreditation to certify organizations for management systems conforming with ISO 13485.

ACCREDITATION RULE

1. Requirement Documents (current versions unless specified)
 - 1.1. ISO 13485, Medical Devices – Quality management systems – Requirements for regulatory purposes
 - 1.2. IAF MD 8, Application of ISO/IEC 17011 in Medical Device Quality Management Systems (ISO 13485)
 - 1.3 IAF MD 9, Application of ISO/IEC 17021 in Medical Device Quality Management Systems (ISO 13485)
 - 1.4. ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems
 - 1.5. PR-7-01, NBE Procedure for the Accreditation of Conformity Assessment Bodies, and applicable NBE Accreditation Rules
 - 1.6. Other IAF Mandatory Documents as applicable
2. Application Process
 - 2.1. CABs can obtain applications for informational use at www.nbeglobal.org.
 - 2.2. The application process outlined at www.nbeglobal.org must be completed via NBE's Enterprise Quality e-Mail (EQM) when the CAB is ready to apply for accreditation.
 - 2.3. The application fee includes the cost of one assessor day for the off-site documentation review.
3. Initial Assessments for Accreditation
 - 3.1. An NBE accreditation assessor shall conduct a full documentation review.
 - 3.2. After the documents are found acceptable, NBE shall conduct an office assessment and required witnessed audits.
 - 3.2.1. The office assessment normally shall be conducted on site or remotely (at NBE's discretion) and is conducted to ensure the CAB's certification process for ISO 13485 conforms with ISO/IEC 17021-1 and IAF MD 9 and is effective.
 - 3.2.2. NBE shall witness the CAB conducting a two-stage audit process (stage 1 and stage 2).
 - 3.2.2.1. The NBE assessment team shall have the same number of members as the CAB audit team.
4. Surveillance Assessments
 - 4.1. NBE shall conduct an annual office assessment and annually witness a CAB team conducting an ISO 13485 audit.
 - 4.1.1. When possible, the office assessment shall be conducted concurrently with assessments for other NBE accreditation programs for which the CAB is accredited.
 - 4.1.2. During the accreditation cycle, NBE shall evaluate the CAB's full system audit process during at least one annual witnessed audit (stages 1 and 2 certification audit or recertification). The additional witnessed

audits required in the accreditation cycle are based on the CAB's audit activity and management system findings, and include audit types such as surveillance, special, multi-site, scope expansion, transfer, integrated, ASRP, and/or CAAT. NBE Accreditation Rule PR-7-01 outlines the witnessed audit scheduling process and the process for potentially altering the types of audits witnessed.

4.1.2.1. The number of required witnessed audits will be based on the number of main technical areas included in the CAB's scope of accreditation. During the accreditation cycle, NBE shall witness an audit in each main technical area included in the scope of accreditation.

5. Re-accreditation Assessments

5.1. NBE shall conduct a document review and an on-site full system office assessment at approximately six months prior to the expiration of accreditation.

6. Scope of Accreditation

6.1. The scope of accreditation shall be for the technical areas as specified in Annex A of IAF MD 8 and Annex 1 of IAF MD 9, and any technical area not specified in Annex A. Witnessing is required to gain accreditation for any main technical area, and the need for witnessing for any of the technical areas/product categories shall be determined on a case-by-case basis.

6.2. During the initial accreditation process, NBE will determine the witnessing needed for the scopes sought by the CAB.

6.3. To expand the scope of accreditation, the CAB shall provide a completed scope application (via EQM) that includes evidence demonstrating an appropriate level of competence for the desired scopes.

6.3.2. A competent accreditation assessor or technical reviewer will review the application and documentation, including the CAB's competencies and processes for the specific scopes, and prepare a written response on the CAB's conformance, which shall result in one of the following recommendations:

- a. Require a witnessed audit prior to granting the scope.
- b. Grant the scope without a witnessed audit.
- c. Grant the scope with a witnessed audit required at the first opportunity after accreditation.
- d. Not grant the scope.

21.8 ACCREDITATION PROGRAM FOR ISO 28000 SUPPLY CHAIN SECURITY MANAGEMENT SYSTEMS (SCSMS)

PREFACE

This Accreditation Rule is to inform certification bodies (CABs) of NBE requirements for accreditation to certify organizations for SCSMS conforming with ISO 28000.

ACCREDITATION RULE

1. Requirement Documents (current versions unless specified)
 - 1.1. ISO 28003, Security management systems for the supply chain – Requirements for bodies providing audit and certification of supply chain management systems
 - 1.2. ISO 28000, Specification for security management systems for the supply chain
 - 1.3. ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems
 - 1.4. PR-7-01, NBE Procedure for the Accreditation of Conformity Assessment Bodies, and applicable NBE Accreditation Rules
 - 1.5. IAF Mandatory Documents as applicable
2. Application Process
 - 2.1. CABs can obtain applications for informational use at www.nbeglobal.org.
 - 2.2. The application process outlined at www.nbeglobal.org must be completed via NBE's Enterprise Quality e-Mail (EQM) when the CAB is ready to apply for accreditation.
 - 2.3. The application fee includes the cost of one assessor day for the off-site documentation review.
3. Initial Assessments for Accreditation
 - 3.1. An NBE accreditation assessor shall conduct a full documentation review.
 - 3.2. After the documents are found acceptable, NBE shall conduct an office assessment and required witnessed audits.
 - 3.2.1. The office assessment shall be conducted on site or remotely (at NBE's discretion) and is conducted to ensure the CAB's certification process for SCSMS conforms with ISO/IEC 17021-1 and ISO 28003 and is effective.
 - 3.2.2. NBE shall witness the CAB conducting a two-stage audit process (stages 1 and 2).
 - 3.2.2.1. The NBE assessment team shall have the same number of members as the CAB audit team.
4. Surveillance Assessments
 - 4.1. NBE shall conduct an annual office assessment and annually witness the CAB conducting an SCSMS audit.
 - 4.1.1. When possible, the office assessment shall be conducted concurrently with assessments for other NBE accreditation programs for which the CAB is accredited.
 - 4.1.2. During the accreditation cycle, NBE shall evaluate the CAB's full system audit process during at least one annual witnessed audit (stages 1 and 2 certification audit or recertification). The additional witnessed audits required in the accreditation cycle are based on the CAB's audit activity and management system findings, and include audit types such as surveillance, special, multi-site, scope expansion, transfer,

integrated, ASRP, and/or CAAT. NBE Accreditation Rule PR-7-01 outlines the witnessed audit scheduling process and the process for potentially altering the types of audits witnessed.

5. Re-accreditation Assessments

5.1. NBE shall conduct a document review and an on-site full system office assessment at approximately six months prior to the expiration of accreditation.

6. Audit Duration

6.1. For each client, the CAB shall document the justification for the audit duration and maintain records of the audit duration and justification.

7. Competence of CAB Personnel

7.1. In addition to the demonstrated knowledge, skills, and attributes for competence of a management systems audit team, the CAB shall demonstrate each audit team be able to:

7.1.1. Judge conformance or nonconformance with ISO 28000.

7.1.2. Make sound judgments when auditing an organization's processes for:

- a. Change management.
- b. Risk assessment and analysis.
- c. Vulnerability assessment and threat identification.
- d. Incident planning, preparedness, and response.
- e. Handling confidential information.
- f. Post-incident recovery and actions.

7.1.3. Make sound judgments when auditing risk control, minimization, mitigation, and elimination methodologies.

7.1.4. Understand and apply governmental and intergovernmental regulations, initiatives, and programs that have an impact on supply chain security.

7.1.5. Make sound judgments when auditing an organization's supply chain process flow.

21.9 ACCREDITATION PROGRAM FOR ISO/IEC 20000-1 INFORMATION TECHNOLOGY – SERVICE MANAGEMENT SYSTEMS (ITSMS)**PREFACE**

This Accreditation Rule is to inform certification bodies (CABs) of NBE requirements for accreditation to certify organizations for ITSMS conforming with ISO/IEC 20000-1.

ACCREDITATION RULE

1. Requirement Documents (current versions unless specified)
 - 1.1. ISO/IEC 20000-1, Information Technology – Service Management – Part 1: Service Management System Requirements
 - 1.2. ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems
 - 1.3. ISO/IEC 20000-6, Information Technology – Service Management – Part 6: Requirements for bodies providing audit and certification of service management systems
 - 1.4. PR-7-01, NBE Procedure for the Accreditation of Conformity Assessment Bodies, and applicable NBE Accreditation Rules
 - 1.5. IAF Mandatory Documents as applicable
2. Application Process
 - 2.1. CABs can obtain applications for informational use at www.nbeglobal.org.
 - 2.2. The application process outlined at www.nbeglobal.org must be completed via NBE's Enterprise Quality e-Mail (EQM) when the CAB is ready to apply for accreditation.
 - 2.3. The application fee includes the cost of one assessor day for the off-site documentation review.
3. Initial Assessments for Accreditation
 - 3.1. An NBE accreditation assessor shall conduct a full documentation review.
 - 3.2. After the documents are found acceptable, NBE shall conduct an office assessment and required witnessed audits.
 - 3.2.1. The office assessment shall be conducted on site or remotely (at NBE's discretion) and is conducted to ensure the CAB's certification process for SMS conforms with ISO/IEC 17021- 1 and ISO/IEC 20000-6 and is effective.
 - 3.2.2. NBE shall witness the CAB conducting a two-stage audit process (stages 1 and 2).
 - 3.2.1.1. The NBE assessment team shall have the same number of members as the CAB audit team.
4. Surveillance Assessments
 - 4.1. NBE shall conduct an annual office assessment, and annually witness the CAB conducting an SMS audit.
 - 4.1.1. When possible, the office assessment shall be conducted concurrently with assessments for other NBE accreditation programs for which the CAB is accredited.
 - 4.1.2. During the accreditation cycle, NBE shall evaluate the CAB's full system audit process during at least one annual witnessed audit (stages 1 and 2 certification auditor recertification). The additional witnessed audits required in the accreditation cycle are based on the CAB's audit activity and management system findings, and include audit types such as surveillance, special, multi-site, scope expansion, transfer, integrated, ASRP, and/or ICT. NBE Accreditation Rule PR-7-01 outlines the witnessed audit scheduling process and the process for potentially altering the types of audits witnessed.

5. Re-accreditation Assessments

5.1. NBE shall conduct a document review and an on-site full system office assessment at approximately six months prior to the expiration of accreditation.

6. End User Expected Outcomes for Accredited Certification to ISO/IEC 20000-1

6.1. An organization with an accredited service management system can be expected to achieve organizational objectives through the effective and efficient management of its services. The organization can be expected to provide assurance that those objectives can be achieved consistently and sustainably over time.

6.2. The CAB shall have processes to continually communicate and consistently reinforce expected outcomes with auditors, certification personnel, customers, and other stakeholders.

7. Requirements for Transition to ISO/IEC 20000-1:2018

7.1. IAF Resolution 2018-14 established a transition period of three years from the date of publication of ISO/IEC 20000-1:2018, with the transition deadline being no later than 2021/09/29.

7.2. CAB ISO/IEC 20000-1:2018 Activity with Clients

7.2.1. The expiration date of ISO/IEC 20000-1:2011 certifications issued during the transition period shall be 2021/09/29, corresponding to the end of the three-year transition period.

7.2.2. Prior to the CAB's transition with NBE, the CAB can conduct transition audits to ISO/IEC 20000-1; however, the CAB cannot issue or reissue NBE-accredited certificates until the CAB's accreditation has been transitioned by NBE.

7.3. CAB Transition Application Process

7.3.1. The CAB shall apply for transition by 2019/06/30 following the application process in EQM.

7.3.2. The ISO/IEC 20000-1 transition application specifies the evidence required from the CAB.

7.3.3. NBE will assign an EATL or technical reviewer to review the application and supporting evidence.

7.3.4. The reviewer typically will recommend transition to NBE management after the application review is successfully completed.

7.3.5. If the CAB's transition process, including evidence, cannot be verified during the application review, NBE's reviewer shall recommend an office or witness assessment.

7.4. Transition Decision Process

7.4.1. After the CAB successfully completes the transition activity, NBE management will make a transition decision in accordance with PR-7-01.

7.4.2. When the CAB has successfully transitioned, NBE will update EQM and NBE's website.

7.5. NBE encourages early transition to support market demands; the CAB shall be transitioned (including NBE's transition decision) by 2019/12/30 (i.e., within 15 months after publication of the standard). If not, CAB's accreditation will be suspended.

7.5.1. NBE established additional critical dates to support the transition timeline as indicated in Table 1 below.

7.5.2. NBE will follow the process outlined in PR-7-01 for suspension and withdrawal of accreditation.

Table 1.

Critical Date	CAB Required Action	NBE Action
Nine months after publication of ISO/IEC 20000-1:2018 (2019/06/30)	Apply for transition	Recommend suspension if CAB misses deadline
	New SMS accreditation applications for ISO/IEC 20000-1:2018 only	Not accept any new SMS applications to ISO/IEC 20000-1:2011
Fifteen months after publication of ISO/IEC 20000-1:2018 (2019/12/30)	Achieve transition	Recommend three-month suspension if CAB misses deadline and withdrawal if not transitioned per IAF Resolution 2018-14
Eighteen months after publication of ISO/IEC 20000-1:2018 (2020/03/30)	Cease conducting audits to ISO/IEC 20000-1:2011.	Take appropriate action (e.g., issue a major NCR) if CAB misses deadline
Determined for each CAB following transition	NBE office assessment to verify effective implementation of transition process and activity	
Determined for each CAB following transition	NBE witnessed audit to verify effective implementation of the transition process and activity	
Before or at end of three- year transition period (2021/09/29)	All ISO/IEC 20000-1:2011 certificates expire	Issue an NCR or recommend suspension if CAB misses deadline

7.6. Verification of Effective Implementation

7.6.1. NBE will verify continued implementation of the revised system at the CAB's normally scheduled office assessments and at an ISO/IEC 20000-1:2018 witnessed audit during the transition period.

7.6.1.1. All witnessed audits in 2021 and beyond shall be conducted to ISO/IEC20000-1:2018.

7.6.1.2. If ISO/IEC 20000-1:2011 certificates remain in the marketplace after 2021/09/29, NBE will issue an NCR or suspend the CAB's accreditation.

21.10 ACCREDITATION PROGRAM FOR ISO 22301 BUSINESS CONTINUITY MANAGEMENT SYSTEMS (BCMS)

PREFACE

This Accreditation Rule is to inform certification bodies (CABs) of NBE requirements for accreditation to certify organizations for ISO 22301 business continuity management systems. Requirements for other preparedness are in Accreditation Rules.

ACCREDITATION RULE

1. Requirement Documents (current versions unless specified)
 - 1.1. ISO 22301, Societal security – Business continuity management systems – Requirements
 - 1.2. ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems
 - 1.3. ISO/IEC TS 17021-6, Conformity assessment Requirements for bodies providing audit and certification of management systems – Part 6: Competence requirements for auditing and certification of business continuity management systems
 - 1.4. PR-7-01, NBE Procedure for the Accreditation of Conformity Assessment Bodies, and applicable NBE Accreditation Rules
 - 1.5. IAF Mandatory Documents as applicable
2. Application Process
 - 2.1. CABs can obtain applications for informational use at www.nbeglobal.org.
 - 2.2. The application process outlined at www.nbeglobal.org must be completed via NBE's Enterprise Quality e-Mail (EQM) when the CAB is ready to apply for accreditation.
 - 2.3. The application fee includes the cost of one assessor day for the off-site documentation review.
3. Initial Assessments for Accreditation
 - 3.1. An NBE accreditation assessor shall conduct a full documentation review.
 - 3.2. After the documents are found acceptable, NBE shall conduct an office assessment and required witnessed audits.
 - 3.2.1. The office assessment shall be conducted on site or remotely (at NBE's discretion) and is conducted to ensure the CAB's certification process for business continuity management systems conforms with ISO/IEC 17021-1 and is effective.
 - 3.2.2. NBE shall witness the CAB conducting a two-stage audit process (stages 1 and 2).
 - 3.2.2.1. The NBE assessment team shall have the same number of members as the CAB audit team.
 - 3.2.3. If the CAB applies for ISO 22301 and any additional preparedness standards, NBE will determine the witnessing required for initial accreditation based on factors including but not limited to the CAB's clients and their scopes of certification; the application review, including the CAB's competence process for personnel for all preparedness standards for which the CAB applies; and office assessment results, if available.
 - 3.2.3.1. If one witnessed audit is used for accreditation for more than one preparedness standard, NBE requires witnessing the first available two-stage audit process (stages 1 and 2) for the other standard(s), but

no later than the end of the first accreditation cycle.

4. Surveillance Assessments

4.1. NBE shall conduct an annual office assessment and annually witness a CAB team conducting an ISO 22301 audit.

4.1.1. When possible, the office assessment shall be conducted concurrently with assessments for other NBE accreditation programs for which the CAB is accredited.

4.1.2. During the accreditation cycle, NBE shall evaluate the CAB's full system audit process during at least one annual witnessed audit (stages 1 and 2 certification audit or recertification). The additional witnessed audits required in the accreditation cycle are based on the CAB's audit activity and management system findings, and include audit types such as surveillance, special, multi-site, scope expansion, transfer, integrated, ASRP, and/or CAAT. NBE Accreditation Rule PR-7-01 outlines the witnessed audit scheduling process and the process for potentially altering the types of audits witnessed.

4.1.3. If the CAB is accredited for ISO 22301 and any other preparedness standards, NBE will structure the witnessing and assessment program, taking into consideration the CAB's activity for each standard, results of previous assessments, etc.; however, NBE shall witness all preparedness standards at least once during the accreditation cycle.

5. Reaccreditation Assessments

5.1. NBE shall conduct a document review and an on-site full system office assessment at approximately six months prior to the expiration of accreditation.

6. Competence of CAB Personnel

6.1. The CAB shall follow the requirements of ISO/IEC 17021-6 when determining the competence criteria for business continuity.

6.2. The CAB shall ensure that its auditors have successfully completed a training course that includes an examination to assess the knowledge required to audit to ISO 22301. Any of the following would contribute to fulfilling this requirement:

- a. A training course certified by a national or international auditor training course provider approval body
- b. An ANSI/ASTM E2659-accredited certificate program for the appropriate standards
- c. Auditor certification under an ISO/IEC 17024-accredited auditor certification program for the appropriate standards

7. End User Expected Outcomes for Accredited Certification to ISO 22301

7.1. An end user can expect an organization with a certified business continuity management system is prepared to deal effectively with business disruptions. An established, business continuity management system verified with an accredited certification makes an organization more resilient and capable of continuing to deliver products and services during a time of disruption and enables prompt recovery to operational capacity.

7.2. The CAB shall have processes to ensure that its auditors and other certification personnel are knowledgeable of the expected outcomes and consistently reinforce them with the CAB's clients.

8. Additional Requirements for PS-Prep

8. Additional Requirements for PS-Prep

8.1. The CAB become accredited to offer certification for PS-Prep for ISO 22301, as a standard recognized

by global.

8.2. Upon PS-Prep accreditation, the CAB shall execute a sub-license agreement with NBE to use the DHS-owned PS-Prep mark in accordance with DHS style material provided by NBE.

8.2.1. Upon certifying an organization for PS-Prep, the CAB shall sub-license the certified organization to use the DHS-owned PS-Prep mark in accordance with the DHS style material.

8.3. The CAB shall populate NBE's EQM database with required PS-Prep client information.

21.11 ACCREDITATION PROGRAM FOR ISO/IEC 27701 PRIVACY INFORMATION MANAGEMENT SYSTEMS (PIMS)

PREFACE

This Accreditation Rule is to inform certification bodies (CABs) of NBE requirements for accreditation to certify organizations for PIMS conforming with ISO/IEC 27701.

ACCREDITATION RULE

1. Requirement Documents (current versions unless specified)
 - 1.1. ISO/IEC 27701, Security techniques – Extension to ISO/IEC 27001 and ISO/IEC 27002 for privacy information management – Requirements and guidelines
 - 1.2. ISO/IEC 27001, Information Technology – Security techniques – Information security management systems – Requirements
 - 1.3. ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems
 - 1.4. PR-7-01, NBE Procedure for the Accreditation of Conformity Assessment Bodies, and applicable NBE Accreditation Rules
 - 1.5. IAF Mandatory Documents as applicable
2. Prerequisites
 - 2.1. The CAB shall be accredited by NBE or attain NBE accreditation concurrently to certify organizations for ISO/IEC 27001 information security management systems.
 - 2.2. If the CAB's accreditation for ISO/IEC 27001 is suspended or withdrawn, the CAB's accreditation for ISO/IEC 27701 also shall be suspended or withdrawn.
3. Application Process
 - 3.1. CABs can obtain applications for informational use at www.nbeglobal.org.
 - 3.2. The application process outlined at www.nbeglobal.org must be completed via NBE's Enterprise Quality e-Mail (EQM) when the CAB is ready to apply for accreditation.
 - 3.3. The application fee includes the cost of one assessor day for the off-site documentation review.
4. Initial Assessments for Accreditation
 - 4.1. An NBE accreditation assessor shall conduct a full documentation review.
 - 4.2. If the CAB is currently accredited by NBE for ISO/IEC 27001 and NBE is able to verify the CAB's competence through evidence (documents and records) during the application review, neither an office assessment nor a witnessed audit will be required. If this is not the case, NBE will determine initial assessments required at the conclusion of the application review.
 - 4.2.1. If a witnessed audit is not required for initial accreditation, a witnessed audit shall be conducted after accreditation is granted and normally within the CAB's current 12-month assessment period (per Accreditation Rule PR-7-01) or within 12 months of initial accreditation.
 - 4.3. If the CAB attains ISO/IEC 27701 accreditation concurrently with ISO/IEC 27001 accreditation, a stage 1 and stage 2 witnessed audit shall be conducted. The ISO/IEC 27701 and ISO/IEC 27001 witnessed audits may be conducted together, at NBE's discretion.

4.3.1. The NBE assessment team shall have the same number of members as the CAB audit team.

5. Surveillance Assessments

5.1. NBE shall conduct an annual office assessment and annually witness the CAB team conducting a PIMS audit.

5.1.1. When possible, the office assessment shall be conducted concurrently with assessments for other NBE accreditation programs for which the CAB is accredited.

5.1.2. During the accreditation cycle, NBE shall evaluate the CAB's full system audit process during at least one annual witnessed audit (stages 1 and 2 certification audit or recertification). The additional witnessed audits required in the accreditation cycle are based on the CAB's audit activity and management system findings, and include audit types such as surveillance, special, multi-site, scope expansion, transfer, integrated, and/or ICT. NBE Accreditation Rule PR-7-01 outlines the witnessed audit scheduling process and the process for potentially altering the types of audits witnessed.

6. Re-accreditation Assessments

6.1. NBE shall conduct a document review and an on-site full system office assessment at approximately six months prior to the expiration of accreditation.

21.12 ACCREDITATION PROGRAM FOR ISO 37001 ANTI-BRIBERY MANAGEMENT SYSTEMS (ABMS)

PREFACE

This Accreditation Rule is to inform certification bodies (CABs) of NBE requirements for accreditation to certify organizations for ABMS conforming with ISO 37001.

ACCREDITATION RULE

1. Requirement Documents (current versions unless specified)
 - 1.1. ISO 37001, Anti-bribery management systems – Requirements with guidance for use
 - 1.2. ISO/IEC TS 17021-9, 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
 - 1.3. ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems
 - 1.4. PR-7-01, NBE Procedure for the Accreditation of Conformity Assessment Bodies, and applicable NBE Accreditation Rules
 - 1.5. IAF Mandatory Documents as applicable
2. Application Process
 - 2.1. CABs can obtain applications for informational use www.nbeglobal.org.
 - 2.2. The application process outlined at www.nbeglobal.org must be completed via NBE's Enterprise Quality e-Mail (EQM) when the CAB is ready to apply for accreditation.
 - 2.3. The application fee includes the cost of one assessor day for the off-site documentation review.
3. Initial Assessments for Accreditation
 - 3.1. An NBE accreditation assessor shall conduct a full documentation review.
 - 3.2. After the documents are found acceptable, NBE shall conduct an office assessment and required witnessed audits.
 - 3.2.1. The office assessment shall be conducted on site or remotely (at NBE's discretion) and is conducted to ensure the CAB's certification process for ABMS conforms with requirements and is effective.
 - 3.2.2. NBE shall witness the CAB conducting a two-stage audit process (stages 1 and 2).
 - 3.2.2.1. The NBE assessment team shall have the same number of members as the CAB audit team.
4. Surveillance Assessments
 - 4.1. NBE shall conduct an annual office assessment and annually witness a CAB team conducting an ABMS audit.
 - 4.1.1. When possible, the office assessment shall be conducted concurrently with assessments for other NBE accreditation programs for which the CAB is accredited.
 - 4.1.2. During the accreditation cycle, NBE shall evaluate the CAB's full system audit process during at least one annual witnessed audit (stages 1 and 2 certification auditor recertification). The additional witnessed audits required in the accreditation cycle are based on the CAB's audit activity and management system findings, and include audit types such as surveillance, special, multi-site, scope expansion, transfer,

integrated, ASRP, and/or CAAT. NBE Accreditation Rule PR-7-01 outlines the witnessed audit scheduling process and the process for potentially altering the types of audits witnessed.

5. Re-accreditation Assessments

5.1. NBE shall conduct a document review and an on-site full system office assessment at approximately six months prior to the expiration of accreditation.

6. End User Expected Outcomes for Accredited Certification to ISO 37001

6.1. End users can expect an organization with a certified ISO 37001 management system to proactively contribute to combating bribery; be committed to establishing a culture of integrity, transparency, openness, and compliance; and have implemented measures to prevent, detect, and address bribery.

6.2. The CAB shall have processes to ensure that its auditors and other certification personnel are knowledgeable of the expected outcomes and consistently reinforce them with the CAB's clients.

21.13 ACCREDITATION PROGRAM FOR ISO 55001 ASSET MANAGEMENT SYSTEMS (AMS)

PREFACE

This Accreditation Rule is to inform certification bodies (CABs) of NBE requirements for accreditation to certify organizations for AMS conforming with ISO 55001.

ACCREDITATION RULE

1. Requirement Documents (current versions unless specified)
 - 1.1. ISO 55001, Asset management – Management systems – Requirements
 - 1.2. ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems
 - 1.3. ISO/IEC TS 17021-5, Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 5: Competence requirements for auditing and certification of asset management systems
 - 1.3. PR-7-01, NBE Procedure for the Accreditation of Conformity Assessment Bodies, and applicable NBE Accreditation Rules
 - 1.4. IAF Mandatory Documents as applicable
2. Prerequisites
 - 2.1. The CAB shall be accredited or gain accreditation concurrently as conforming with ISO/IEC 17021-1.
3. Application Process
 - 3.1. CABs can obtain applications for informational use at www.nbeglobal.org.
 - 3.2. The application process outlined at www.nbeglobal.org must be completed via NBE's Enterprise Quality e-Mail (EQM) when the CAB is ready to apply for accreditation.
 - 3.3. The application fee includes the cost of one assessor day for the off-site documentation review.
4. Initial Assessments for Accreditation
 - 4.1. An NBE accreditation assessor shall conduct a full documentation review.
 - 4.2. After the documents are found acceptable, NBE shall conduct an office assessment and required witnessed audits.
 - 4.2.1. The office assessment shall be conducted on site or remotely (at NBE's discretion) and is conducted to ensure the CAB's certification process for AMS conforms with ISO/IEC 17021-1 and is effective.
 - 4.2.2. NBE shall witness the CAB conducting a two-stage audit process (stages 1 and 2).
 - 4.2.2.1. The NBE assessment team shall have the same number of members as the CAB audit team.
5. Surveillance Assessments
 - 5.1. NBE shall conduct an annual office assessment and annually witness a CAB team conducting a AMS audit.
 - 5.1.1. When possible, the office assessment shall be conducted concurrently with assessments for other NBE accreditation programs for which the CAB is accredited.
 - 5.1.2. During the accreditation cycle, NBE shall evaluate the CAB's full system audit process during at least one annual witnessed audit (stages 1 and 2 certification audit or recertification). The additional witnessed audits required in the accreditation cycle are based on the CAB's audit activity and management system

findings, and include audit types such as surveillance, special, multi-site, scope expansion, transfer, integrated, ASRP, and/or CAAT. NBE Accreditation Rule PR-7-01 outlines the witnessed audit scheduling process and the process for potentially altering the types of audits witnessed.

6. Re-accreditation Assessments

6.1. NBE shall conduct a document review and an on-site full system office assessment at approximately six months prior to the expiration of accreditation.

7. End User Expected Outcomes for Accredited Certification to ISO 55001

7.1. An organization with an accredited asset management system certification can be expected to achieve organizational objectives through the effective and efficient management of its assets. The organization can also be expected to provide assurance that those objectives can be achieved consistently and sustainably over time.

7.2. The CAB shall have processes to ensure that its auditors and other certification personnel are knowledgeable of the expected outcomes and consistently reinforce them with the CAB's clients.

21.14 ACCREDITATION PROGRAM FOR ISO 41001 FACILITY MANAGEMENT SYSTEMS (FMMS)

PREFACE

This Accreditation Rule is to inform certification bodies (CABs) of NBE requirements for accreditation to certify organizations for FMMS conforming with ISO 41001.

ACCREDITATION RULE

1. Requirement Documents (current versions unless specified)
 - 1.1. ISO 41001, Facility management – Management systems – Requirements with guidance for use
 - 1.2. ISO/IEC TS 17021-11, Competence requirements for auditing and certification of facility management (FM) management systems
 - 1.3. ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems
 - 1.4. PR-7-01, NBE Procedure for the Accreditation of Conformity Assessment Bodies, and applicable NBE Accreditation Rules
 - 1.5. IAF Mandatory Documents as applicable
2. Application Process
 - 2.1. CABs can obtain applications for informational use at www.nbeglobal.org.
 - 2.2. The application process outlined at www.nbeglobal.org must be completed via NBE's Enterprise Quality e-Mail (EQM) when the CAB is ready to apply for accreditation.
 - 2.3. The application fee includes the cost of one assessor day for the off-site documentation review.
3. Initial Assessments for Accreditation
 - 3.1. An NBE accreditation assessor shall conduct a full documentation review.
 - 3.2. After the documented information is found acceptable, NBE shall conduct an office assessment and required witnessed audits.
 - 3.2.1. The office assessment shall be conducted on site or remotely (at NBE's discretion) and is conducted to ensure the CAB's certification process for FMMS conforms with requirements and is effective.
 - 3.2.2. NBE shall witness the CAB conducting a two-stage audit process (stages 1 and 2).
 - 3.2.2.1. The NBE assessment team shall have the same number of members as the CAB audit team.
4. Surveillance Assessments
 - 4.1. NBE shall conduct an annual office assessment and annually witness a CAB team conducting an FMMS audit.
 - 4.1.1. When possible, the office assessment shall be conducted concurrently with assessments for other NBE accreditation programs for which the CAB is accredited.
 - 4.1.2. During the accreditation cycle, NBE shall evaluate the CAB's full system audit process during at least one annual witnessed audit (stages 1 and 2 certification auditor recertification). The additional witnessed audits required in the accreditation cycle are based on the CAB's audit activity and management system findings, and include audit types such as surveillance, special, multi-site, scope expansion, transfer, integrated, ASRP, and/or ICT. NBE Procedure (PR-7-01) outlines the witnessed

audit scheduling process and the process for potentially altering the types of audits witnessed.

5. Reaccreditation Assessments

5.1. NBE shall conduct a document review and an on-site full system office assessment at approximately six months prior to the expiration of accreditation.

6. End User Expected Outcomes for Accredited Certification to ISO 41001

6.1. End users can expect an organization with a certified ISO 41001 management system to demonstrate effective and efficient delivery of facility management that supports the objectives of the demand organization; consistently meet the needs of interested parties and applicable requirements; and be sustainable in a globally competitive environment.

6.2. The CAB shall have processes to ensure that it continually communicates and consistently reinforces expected outcomes with auditors and certification personnel. Knowledge and awareness of expected outcomes shall be demonstrated in the conduct of audits and performance of other certification activities.

21.15 ACCREDITATION PROGRAM FOR NSO-NAP 10 HYGIENE, HEALTH AND SAFETY MANAGEMENT SYSTEM FOR LIFE CHAIN. (HSMS-LC)

PREFACE

This Accreditation Rule is to inform certification bodies (CABs) of NBE requirements for accreditation to certify organizations for ABMS conforming with NSO-NAP 10.

ACCREDITATION RULE

1. Requirement Documents (current versions unless specified)
 - 1.1. NSO-NAP 10, Hygiene, Health and Safety Management System for Life Chain – Requirements with guidance for use
 - 1.2. ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems
 - 1.3. PR-7-01, NBE Procedure for the Accreditation of Conformity Assessment Bodies, and applicable NBE Accreditation Rules
 - 1.4. i-NAF Mandatory Documents as applicable
2. Application Process
 - 2.1. CABs can obtain applications for informational use www.nbeglobal.org.
 - 2.2. The application process outlined at www.nbeglobal.org must be completed via NBE's Enterprise Quality e-Mail (EQM) when the CAB is ready to apply for accreditation.
 - 2.3. The application fee includes the cost of one assessor day for the off-site documentation review.
3. Initial Assessments for Accreditation
 - 3.1. An NBE accreditation assessor shall conduct a full documentation review.
 - 3.2. After the documents are found acceptable, NBE shall conduct an office assessment and required witnessed audits.
 - 3.2.1. The office assessment shall be conducted on site or remotely (at NBE's discretion) and is conducted to ensure the CAB's certification process for ABMS conforms with requirements and is effective.
 - 3.2.2. NBE shall witness the CAB conducting a two-stage audit process (stages 1 and 2).
 - 3.2.2.1. The NBE assessment team shall have the same number of members as the CAB audit team.
4. Surveillance Assessments
 - 4.1. NBE shall conduct an annual office assessment and annually witness a CAB team conducting an ABMS audit.
 - 4.1.1. When possible, the office assessment shall be conducted concurrently with assessments for other NBE accreditation programs for which the CAB is accredited.
 - 4.1.2. During the accreditation cycle, NBE shall evaluate the CAB's full system audit process during at least one annual witnessed audit (stages 1 and 2 certification auditor recertification). The additional witnessed audits required in the accreditation cycle are based on the CAB's audit activity and management system findings, and include audit types such as surveillance, special, multi-site, scope

expansion, transfer, integrated, ASRP, and/or CAAT. NBE Accreditation Rule PR-7-01 outlines the witnessed audit scheduling process and the process for potentially altering the types of audits witnessed.

5. Re-accreditation Assessments

5.1. NBE shall conduct a document review and an on-site full system office assessment at approximately six months prior to the expiration of accreditation.

6. End User Expected Outcomes for Accredited Certification to NSO-NAP 10.

6.1. End users can expect an organization with a certified NSO-NAP 10 management system to proactively contribute to combating bribery; be committed to establishing a culture of integrity, transparency, openness, and compliance; and have implemented measures to prevent, detect, and address bribery.

6.2. The CAB shall have processes to ensure that its auditors and other certification personnel are knowledgeable of the expected outcomes and consistently reinforce them with the CAB's clients.

Annex 1. NSO-NAP 10 Technical Clusters and Codes (Scopes)

Technical Cluster	IAF Code	Description of Economic Sector/Activity	Critical Code
Food	1	Agriculture, forestry and fishing	3
	3	Food products, beverages and tobacco	
	30	Hotels and restaurants	
Mechanical	17	Basic metals and fabricated metal products	22 or 20
	18	Machinery and equipment	
	19	Electrical and optical equipment	
	20	Shipbuilding	
	22	Other transport equipment	
Paper	7a	Limited to "Paper products"	9
	8	Publishing companies	
	9	Printing companies	
Minerals	2	Mining and quarrying	2 or 15
	15	Non-metallic mineral products	
	16	Concrete, cement, lime, plaster, etc.	
Construction	28	Construction	28
	34	Engineering services	
Goods production	4	Textiles and textile products	5 or 14
	5	Leather and leather products	
	6	Wood and wood products	
	14	Rubber and plastic products	
	23	Manufacturing not elsewhere classified	
Chemicals	7b	Limited to "Pulp and paper manufacturing"	12
	10	Manufacture of coke and refined petroleum products	
	12	Chemicals, chemical products and fibres	
Supply	25	Electricity supply	26
	26	Gas supply	
	27	Water supply	
Transport and Waste Management	24	Recycling	24
	31	Transport, storage and communication	
	39	Other social services	

Services	29	Wholesale and retail trade; Repair of motor vehicles, motorcycles and personal and household goods	37 or 33
	32	Financial intermediation; real estate; renting	
	33	Information technology	
	35	Other services	
	37	Education	
	36	Public administration	
Nuclear	11	Nuclear fuel	11
Pharmaceutical	13	Pharmaceuticals	13
Aerospace	21	Aerospace	21
Health	38	Health and social work	38