



**SRI LANKA ACCREDITATION BOARD
for CONFORMITY ASSESSMENT**

**SPECIFIC CRITERIA FOR
CERTIFICATION
OF
QUALITY MANAGEMENT SYSTEMS**

ABBREVIATIONS

IAF	International Accreditation Forum
IEC	International Electro Technical Commission
PAC	Pacific Accreditation Co-operation
ISO	International Organization for Standardization
MD	Mandatory Documents
ID	Informative Documents
QMS	Quality Management Systems
SLAB	Sri Lanka Accreditation Board for Conformity Assessment

SRI LANKA ACCREDITATION BOARD FOR CONFORMITY ASSESSMENT				
Title: Specific Criteria for QMS			Doc No: CS-GL(P)-03(AA)	
Issue No: 01	Date of Issue: 2016-02-10	Rev No: 01	Date of Rev: 2016-04-22	Page No: i

CONTENTS

Sl	Title	Page
	Abbreviations	i
	Contents	ii
1.	Introduction	1
2.	References	2
3.	Terms & Definitions	2
4.	Principles	2
5.	General Requirements	3
6.	Structural Requirements	3
7.	Resource Requirements	4
8.	Information Requirements	5
9.	Process Requirements	5
10.	Management System requirements	5
11.	Appendix A – Specific Scope Sectors for Bodies Providing QMS Certification	6
12.	Appendix B – Competency Requirements for personnel of QMS Certification Bodies	9
13.	Composition of the Technical Committee	15

1. INTRODUCTION

- 1.1 The Accreditation Scheme for Certification Bodies of Quality Management Systems (QMS) of the Sri Lanka Accreditation Board (SLAB) is mainly based on the requirements laid down in ISO/IEC 17021-1:2015 : Conformity Assessment- Requirements for bodies providing audit and certification of management systems & ISO/IEC TS 17021-3:2013 Conformity Assessment- Requirements for bodies providing audit and certification of management systems; Part 3: Competence requirements for auditing and certification of quality management systems. Certification of management systems covers a wide range of conformity assessments in different fields of certification. Specific scope sectors under certification of QMS for which SLAB offers accreditation based on ISO/IEC 17021-1 is given in Appendix A.
- 1.2 This document provides requirements considered necessary to be taken into account the type of scope sector, competency level of auditors, classification of risk levels and techniques involved and the expertise required for different risk levels based on the additional criteria published by the International / Regional Accreditation Organizations.
- 1.3 Certification bodies which provide QMS Certification as per ISO 9001 shall comply with any national laws and regulations, as applicable.
- 1.4 The scopes of QMS certification as per ISO 9001 requires a wide variety of techniques requiring different levels of knowledge and expertise in the performance of audits. ISO/IEC TS 17021-3 intends that all QMS auditors and other personnel involved in certification functions possess generic competence & the specific QMS knowledge. Competency requirements for auditing and certification of QMS described in ISO/IEC 17021-1 are prescribed in clause 6 & Annex A of this document and ISO/IEC TS 17021-3 Conformity Assessment- Requirements for bodies providing audit and certification of management systems. To ensure that those auditors who demonstrate the relevant competence are allowed to conduct QMS audits including technical experts and to provide for a higher level of consistency in the interpretation of requirements of those Standards in the assessment process and to facilitate the accreditation procedure, the complexity sectors / business sectors have been classified and listed in Appendix B.
- 1.5 This Specific Criteria document must be used in conjunction with ISO/IEC 17021-1 & ISO/IEC TS 17021-3.
- 1.6 This specific criteria document has been prepared by the Technical Advisory Committee on Management System certification and has been authorized for adoption by the Council of the Sri Lanka Accreditation Board (SLAB). ISO/IEC 17021-1, ISO/IEC TS 17021-3 and this document provide guidance for the accreditation of Certification bodies who are seeking accreditation and the assessors who are conducting assessments at certification Bodies of QMS. This document will be periodically reviewed and updated as and when required.

SRI LANKA ACCREDITATION BOARD FOR CONFORMITY ASSESSMENT				
Title: Specific Criteria for QMS			Doc No: CS-GL(P)-03(AA)	
Issue No: 01	Date of Issue: 2016-02-10	Rev No: 01	Date of Rev: 2016-04-22	Page No: 1 of 12

2. TERMS & DEFINITIONS

For the purpose of this document, the terms and definitions given in ISO/IEC 17000, ISO/IEC 17021-1, ISO/IEC TS 17021-3, ISO 9000, ISO 9001 and ISO 19011 shall apply.

3. REFERENCES

ISO/IEC 17021-1:2015 Conformity Assessment- Requirements for bodies providing audit and certification of management systems.

ISO/IEC TS 17021-3:2013 Conformity Assessment- Requirements for bodies providing audit and certification of management systems; Part 3: Competence requirements for auditing and certification of quality management systems

IAF MD 1:2007 Certification of Multiple Sites Based on Sampling

IAF MD 2:2007 Transfer of Accredited Certification of Management Systems

IAF MD 3:2008 Advanced Surveillance and Recertification Procedures (ASRP)

IAF MD 4:2008 Use of Computer Assisted Auditing Techniques ("CAAT") for Accredited Certification of Management Systems

IAF MD 5:2015 Determination of Audit Time of Quality and Environmental Management Systems

IAF MD 7:2010 Harmonisation of Sanctions

IAF MD 10:2013 Assessment of Certification Body Management of Competence

IAF MD 11:2013 Application of ISO/IEC 17021 for Audits of Integrated Management Systems (IMS)

IAF MD 12:2016 Accreditation Assessment of Conformity Assessment Bodies with Activities in Multiple Countries

IAF MD 17:2015 Witnessing Activities for the Accreditation of Management Systems Certification Bodies

IAF ID1:2014 QMS and EMS Scopes of Accreditation

4. PRINCIPLES (*Clause 4 of ISO/IEC 17021-1*)

The principles given in Clause 4 of ISO/IEC 17021-1:2015 are the basis for the subsequent specific performance and descriptive requirements in this specific criteria document. This specific criteria document does not give specific requirements for all situations that can occur. These principles should be applied as guidance for the decisions that may need to be made for unanticipated situations. Principles are not requirements.

The term "Management system" used in ISO/IEC 17021-1 shall be replaced by "quality management system" in the context of this specific criteria document.

SRI LANKA ACCREDITATION BOARD FOR CONFORMITY ASSESSMENT				
Title: Specific Criteria for QMS		Doc No: CS-GL(P)-03(AA)		
Issue No: 01	Date of Issue: 2016-02-10	Rev No: 01	Date of Rev: 2016-04-22	Page No: 2 of 12

5 GENERAL REQUIREMENTS

5.1 General (Clause 5.1 of ISO/IEC 17021-1)

All the requirements given in Clause 5.1 of ISO/IEC 17021-1 shall apply.

5.2 Management of impartiality (Clause 5.2 of ISO/IEC 17021-1)

All the requirements given in Clause 5.2 of ISO/IEC 17021-1 shall apply.

The certification body and any part of the same legal entity shall not offer or provide consultancy on QMS implementation and related activities and Training for customers of the certification body.

The fact that the certification body employing the Auditor is known to have provided QMS consultancy or Management systems consultancy on the particular customer of the certification body within two years following the end of the consultancy, is likely to be considered as a high threat to impartiality.

5.3 Liability & financing (Clause 5.3 of ISO/IEC 17021-1)

The certification body shall evaluate possible risks arising from its certification activities and shall have arrangements to cover liabilities arising from its operations in each of its fields of activities and the geographic areas in which it operates. It is recommended to obtain insurance coverage or allocate a reserve for the above purposes.

It is recommended to evaluate certification body's finances and sources of income and demonstrate to the impartiality committee as specified in the clause 6.2 that initially and bi-annually in order to verify commercial or financial or other pressures do not compromise impartiality.

6. STRUCTURAL REQUIREMENTS (Clause 6 of ISO/IEC 17021-1)

6.1 Organization structure and top management (Clause 6.1 of ISO/IEC 17021-1)

All requirements given in Clause 6.1 of ISO/IEC 17021-1 shall apply.

6.2 Operational control (Clause 6.2 of ISO/IEC 17021-1)

All requirements given in Clause 6.2 of ISO/IEC 17021-1 shall apply. The Certification Body shall conduct a risk analysis related to competence consistency and impartiality of branch offices, and other related entities considering the appropriate level and method of controls undertaken for the operation of certification Body. And records shall be maintained.

SRI LANKA ACCREDITATION BOARD FOR CONFORMITY ASSESSMENT				
Title: Specific Criteria for QMS			Doc No: CS-GL(P)-03(AA)	
Issue No: 01	Date of Issue: 2016-02-10	Rev No: 01	Date of Rev: 2016-04-22	Page No: 3 of 12

7. RESOURCE REQUIREMENTS (Clause 7 of ISO/IEC 17021-1 & Clause 5 & 6 of ISO/IEC TS 17021-3)

7.1.1 Competence of personnel (Clause 7.1 of ISO/IEC 17021-1 & Clause 5 & 6 of ISO/IEC TS 17021-3)

All requirements given in Clause 7.1 of ISO/IEC 17021-1 & Clause 5 & 6 of ISO/IEC TS 17021-3 shall apply.

Additionally, the certification body may have to comply as a team with specific knowledge and competence relevant to the complexity levels/ scope sectors as given in Appendix B or otherwise decided by the CB and agreeable to the assessment team to ensure that personnel are competent for the specific tasks.

7.1.2 The specific knowledge and competency of personnel involved in certification process (Annex A of ISO/IEC TS 17021-3) shall be recorded for each complexity level/scope sector and evidence of records for such specific fields shall include at least the following;

- Records on competences and performance evaluation
- Audit team selection
- Relevant quality management system standards and other normative documents
- Quality management terminology, principles, practices and techniques
- Client Business Sector
- Client products, Processes and Organization

7.2. Personnel involved in the certification activities (Clause 7.2 of ISO/IEC 17021-1 & Clause 5 & 6 of ISO/IEC TS 17021-3)

7.2.1.1 All requirements given in Clause 7.2 of ISO/IEC 17021-1 & Clause 5 & 6 of ISO/IEC TS 17021-3 shall apply.

7.2.1.2 The certification body shall ensure that all personnel involved in the audit and certification activities possess the personnel attributes as described in the Annex D of ISO/IEC 17021 with evidence.

SRI LANKA ACCREDITATION BOARD FOR CONFORMITY ASSESSMENT				
Title: Specific Criteria for QMS			Doc No: CS-GL(P)-03(AA)	
Issue No: 01	Date of Issue: 2016-02-10	Rev No: 01	Date of Rev: 2016-04-22	Page No: 4 of 12

7.3 Use of Individual External Auditors and External Technical Experts (Clause 7.3 of ISO/IEC 17021-1 & Clause 5 & 6 of ISO/IEC TS 17021-3)

All requirements given in Clause 7.3 of ISO/IEC 17021-1 & Clause 5 & 6 of ISO/IEC TS 17021-3 shall apply

Certification body shall collect information prior to association with any organization of external Personnel who may be assigned to audit or other potential applicants related to Certification body.

7.4 Personnel records (Clause 7.4 of ISO/IEC 17021-1 & Clause 5 of ISO/IEC TS 17021-3)

All requirements given in Clause 7.3 of ISO/IEC 17021-1 & Clause 5 of ISO/IEC TS 17021-3 shall apply

7.5 Outsourcing (Clause 7.5 of ISO/IEC 17021-1 & Clause 5 of ISO/IEC TS 17021-3)

All requirements given in Clause 7.5 of ISO/IEC 17021-1 & Clause 5 of ISO/IEC TS 17021-3 shall apply

8. INFORMATION REQUIREMENTS (Clause 8 of ISO/IEC 17021-1)

All requirements given in Clauses 8.1, 8.2, 8.3, 8.4 & 8.5 of ISO/IEC 17021 shall apply

9. PROCESS REQUIREMENTS (Clause 9 of ISO/IEC 17021-1)

The requirements given in Clause from 9.1 to 9.9 of ISO/IEC 17021-1 and IAF MD-05 – Duration for QMS & EMS Audits shall apply.

10. MANAGEMENT SYSTEM REQUIREMENTS FOR CERTIFICATION BODIES (Clause 10 of ISO/IEC 17021-1)

All requirements given in Clause from 10.1 to 10.3 of ISO/IEC 17021-1 shall apply.

SRI LANKA ACCREDITATION BOARD FOR CONFORMITY ASSESSMENT				
Title: Specific Criteria for QMS			Doc No: CS-GL(P)-03(AA)	
Issue No: 01	Date of Issue: 2016-02-10	Rev No: 01	Date of Rev: 2016-04-22	Page No: 5 of 12

Appendix A

SPECIFIC SCOPE SECTORS FOR BODIES PROVIDING QUALITY MANAGEMENT SYSTEMS CERTIFICATION

(For management systems other than FSMS)

NACE Rev.2 code

Section A – Agriculture, Forestry and Fishing

- | | |
|---|-------------|
| 1. Crop and animal production, hunting and related activities | Division 01 |
| 2. Forestry and logging | Division 02 |
| 3. Fishing and aquaculture | Division 03 |

Section B- Mining and Quarrying

- | | |
|--|-------------|
| 4. Mining of coal and ignite | Division 05 |
| 5. Extraction of crude petroleum and natural gas | Division 06 |
| 6. Mining of metal ores | Division 07 |
| 7. Other mining and quarrying | Division 08 |
| 8. Mining support service activities | Division 09 |

Section C – Manufacturing

- | | |
|---|-------------|
| 9. Manufacture of food products | Division 10 |
| 10. Manufacture of beverages | Division 11 |
| 11. Manufacture of tobacco products | Division 12 |
| 12. Manufacture of textiles | Division 13 |
| 13. Manufacture of wearing apparel | Division 14 |
| 14. Manufacture of leather and related products | Division 15 |
| 15. Manufacture of wood and of products of wood and cork,
except furniture; manufacture of articles of straw and plaiting
materials | Division 16 |
| 16. Manufacture of paper and paper products | Division 17 |
| 17. Printing and reproduction of recorded media | Division 18 |
| 18. Manufacture of coke and refined petroleum products | Division 19 |
| 19. Manufacture of chemicals and chemical products | Division 20 |
| 20. Manufacture of basic pharmaceutical products
and pharmaceutical preparations | Division 21 |
| 21. Manufacture of rubber and plastic products | Division 22 |
| 22. Manufacture of other non-metallic mineral products | Division 23 |
| 23. Manufacture of basic metals | Division 24 |
| 24. Manufacture of fabricated metal products, except machinery
and equipment | Division 25 |
| 25. Manufacture of computer, electronic and optical products | Division 26 |
| 26. Manufacture of electrical equipment | Division 27 |
| 27. Manufacture of machinery and equipment n.e.c. | Division 28 |
| 28. Manufacture of motor vehicles, trailers and semi-trailers | Division 29 |
| 29. Manufacture of other transport equipment | Division 30 |
| 30. Manufacture of furniture | Division 31 |
| 31. Other manufacturing | Division 32 |
| 32. Repair and installation of machinery and equipment | Division 33 |

SRI LANKA ACCREDITATION BOARD FOR CONFORMITY ASSESSMENT

Title: Specific Criteria for QMS

Doc No: CS-GL(P)-03(AA)

Issue No: 01

Date of Issue: 2016-02-10

Rev No: 01

Date of Rev: 2016-04-22

Page No: 6 of 12

Section D- Electricity, Gas, Steam and Air Conditioning Supply

33. Electricity, gas, steam and air conditioning supply Division 35

Section E – Water supply; sewerage, waste management and remediation activities

34. Water collection, treatment and supply Division 36

35. Sewerage Division 37

36. Waste collection, treatment and disposal activities;
materials recovery Division 38

37. Remediation activities and other waste management services Division 39

Section F – Construction

38. Construction of buildings Division 41

39. Civil Engineering Division 42

40. Specialized construction activities Division 43

Section G - Wholesale and retail trade; repair of motor vehicles and motorcycles

41. Wholesale and retail trade and repair of motor vehicles and
Motorcycles Division 45

42. Wholesale trade, except of motor vehicles and motorcycles Division 46

43. Retail trade, except of motor vehicles and motorcycles Division 47

Section H - Transportation and storage

44. Land transport and transport via pipelines Division 49

45. Water transport Division 50

46. Air transport Division 51

47. Warehousing and support activities for transportation Division 52

48. Postal and courier activities Division 53

Section I - Accommodation and food service activities

49. Accommodation Division 55

50. Food and beverage service activities Division 56

Section J- Information and Communication

51. Publishing activities Division 58

52. Motion picture, video and television programme production,
Sound recording and music publishing activities Division 59

53. Programming and broadcasting activities Division 60

54. Telecommunications Division 61

55. Computer programming, consultancy and related activities Division 62

56. Information service activities Division 63

Section K- Financial and Insurance Activities

57. Financial service activities, except insurance and pension funding Division 64

58. Insurance, reinsurance and pension funding, except compulsory
Social security Division 65

59. Activities auxiliary to financial services and insurance activities Division 66

Section L - Real estate activities

60. Real estate activities Division 68

SRI LANKA ACCREDITATION BOARD FOR CONFORMITY ASSESSMENT				
Title: Specific Criteria for QMS			Doc No: CS-GL(P)-03(AA)	
Issue No: 01	Date of Issue: 2016-02-10	Rev No: 01	Date of Rev: 2016-04-22	Page No: 7 of 12

Section M - Professional, scientific and technical activities

61. Legal and accounting activities	Division 69
62. Activities of head offices; management consultancy activities	Division 70
63. Architectural and engineering activities; technical testing and analysis	Division 71
64. Scientific research and development	Division 72
65. Advertising and market research	Division 73
66. Other professional, scientific and technical activities	Division 74
67. Veterinary activities	Division 75

Section N - Administrative and support service activities

68. Rental and leasing activities	Division 77
69. Employment activities	Division 78
70. Travel agency, tour operator reservation service and related activities	Division 79
71. Security and investigation activities	Division 80
72. Services to buildings and landscape activities	Division 81
73. Office administrative, office support and other business support Activities	Division 82

Section O - Public administration and defense; compulsory social security Education

74. Public administration and defense; compulsory social security	Division 84
---	-------------

Section P – Education

75. Education	Division 85
---------------	-------------

Section Q- Human health and social work activities

76. Human health activities	Division 86
77. Residential care activities	Division 87
78. Social work activities without accommodation	Division 88

Section R - Arts, entertainment and recreation

79. Creative, arts and entertainment activities	Division 90
80. Libraries, archives, museums and other cultural activities	Division 91
81. Gambling and betting activities	Division 92
82. Sports activities and amusement and recreation activities	Division 93

Section S - Other service activities

83. Activities of membership organizations	Division 94
84. Repair of computers and personal and household goods	Division 95
85. Other personal service activities	Division 96

Section T - Activities of households as employers; undifferentiated goods and services producing activities of households for own use

86. Activities of households as employers of domestic personnel	Division 97
87. Undifferentiated goods- and services-producing activities of Private households for own use	Division 98

Section U - Activities of extraterritorial organizations and bodies

88. Activities of extraterritorial organizations and bodies	Division 99
---	-------------

SRI LANKA ACCREDITATION BOARD FOR CONFORMITY ASSESSMENT				
Title: Specific Criteria for QMS		Doc No: CS-GL(P)-03(AA)		
Issue No: 01	Date of Issue: 2016-02-10	Rev No: 01	Date of Rev: 2016-04-22	Page No: 8 of 12

Appendix B

COMPETENCY REQUIREMENTS FOR PERSONNEL OF QMS CERTIFICATION BODIES

Personnel carrying out contract review

Qualification / Experience	Minimum requirements
Education	GCE A/L
QMS Training	<p>Training on Quality Management Systems</p> <p>Training on applicable legal and regulatory requirements in the relevant field.</p>
Work Experience	<p>Minimum of one year experience in certification activities.</p> <p>Shall demonstrate the ability to apply knowledge and skills in the following areas;</p> <ul style="list-style-type: none"> • Classification of scope sectors • Deployment of QMS auditor competences and requirements • Determination of the audit time and duration requirements as per IAF MD 5 • Certification bodies requirements and procedures related to contract review • Knowledge of client products, processes and organization

SRI LANKA ACCREDITATION BOARD FOR CONFORMITY ASSESSMENT				
Title: Specific Criteria for QMS			Doc No: CS-GL(P)-03(AA)	
Issue No: 01	Date of Issue: 2016-02-10	Rev No: 01	Date of Rev: 2016-04-22	Page No: 9 of 12

Auditors

Qualification / Experience	Minimum requirements
Education	Basic Degree in the relevant field (B Sc (Biological Science /Engineering, Agriculture, Forestry & Environmental Science, Applied Science, NDT Diploma or similar qualification) .
QMS Training	Successfully completed ISO 9001 Lead Auditor Training Course Awareness training on applicable legal and regulatory requirements in the relevant field.
Audit Training	Successfully completed training in audit processes and techniques based on the guidance given in ISO 19011. Successfully completed Lead Auditor Training Course (ISO 9001)
Work Experience	Minimum of three years work experience in any field including one year work experience in quality assurance or QMS functions. Note: A technically qualified auditor should have minimum of three years full time work experience in the relevant scope sector and one year fulltime work experience to qualify for any related sub sector.
Audit Experience	Within last two years auditor has performed at least ten QMS audit days under the leadership of qualified auditor.
Maintaining the qualification of auditor status	Minimum of at least ten QMS audit man days per year.

SRI LANKA ACCREDITATION BOARD FOR CONFORMITY ASSESSMENT				
Title: Specific Criteria for QMS			Doc No: CS-GL(P)-03(AA)	
Issue No: 01	Date of Issue: 2016-02-10	Rev No: 01	Date of Rev: 2016-04-22	Page No: 10 of 12

Technical Experts

Qualification / Experience	Minimum requirements
Education	Post secondary education in the relevant scope sector being audited.
work experience	At least five years work experience in the relevant field being audited.
Training on QMS and relevant legal requirements	Basic awareness training on Quality Management and Certification procedures Introductory training on relevant legal and regulatory requirements

Personnel reviewing audit reports and making certification decisions

Qualification / Experience	Minimum requirements
Education	B. Sc Degree or equivalent qualification in the relevant scope sector and post graduate qualification.
work experience	Five years work experience at managerial level
Training on QMS and relevant legal requirements	Awareness on appropriate legal and regulatory requirements in the relevant scope sector.

SRI LANKA ACCREDITATION BOARD FOR CONFORMITY ASSESSMENT				
Title: Specific Criteria for QMS			Doc No: CS-GL(P)-03(AA)	
Issue No: 01	Date of Issue: 2016-02-10	Rev No: 01	Date of Rev: 2016-04-22	Page No: 11 of 12

Appendix C

COMPOSITION OF THE TECHNICAL ADVISORY COMMITTEE

1.	Dr. Mahesh Wanajith Jayaweera, Department of Civil Engineering, University of Moratuwa,	Chairman
2.	Mr. Manjula Hettiarachchie, Management Representative/Manager (Compliance), Colombo Dockyard PLC,	Member
3.	Mr.Samantha Kumarasena, CEO, National Cleaner Production Centre.	Member
4.	Ms. S U Narangoda, Director, System Certification Division, Sri Lanka Standard Institute.	Member
5.	Mr. Thusitha Amarasinghe, Production Manager, Harcros Chemicals PLC.	Member
6.	Mr. T G G Dharmawardena, Deputy Director General, Sri Lanka Standard Institute.	Member
7.	Dr. W M Palipana, Deputy Commissioner of Occupational and Hygiene Division, Department of Labour,Labour Secretariat.	Member
8.	Mr. W R K Fonseka, Principal Research Engineer,Environmental Technology Division, Industrial Technology Institute.	Member

SRI LANKA ACCREDITATION BOARD FOR CONFORMITY ASSESSMENT				
Title: Specific Criteria for QMS			Doc No: CS-GL(P)-03(AA)	
Issue No: 01	Date of Issue: 2016-02-10	Rev No: 01	Date of Rev: 2016-04-22	Page No: 12 of 12