



## **IAF Mandatory Document**

# **IAF MANDATORY DOCUMENT FOR THE COLLECTION OF DATA TO PROVIDE INDICATORS OF MANAGEMENT SYSTEM CERTIFICATION BODIES' PERFORMANCE**

**Issue 1, Version 2**

**(IAF MD 15:2023)**

The International Accreditation Forum, Inc. (IAF) facilitates trade and supports industry and regulators by operating a worldwide mutual recognition arrangement among Accreditation Bodies (ABs) in order that the results issued by Conformity Assessment Bodies (CABs) accredited by IAF members can be accepted globally.

Accreditation reduces risk for business and its customers by assuring them that accredited CABs are competent to carry out the work they undertake within their scope of accreditation. ABs that are members of IAF and their accredited CABs are required to comply with appropriate international standards and IAF mandatory documents for the consistent application of those standards.

ABs that are signatories to the IAF Multilateral Recognition Arrangement (MLA) are evaluated regularly by an appointed team of peers to provide confidence in the operation of their accreditation programs. The structure of the IAF MLA is detailed in IAF PL 3 - Policies and Procedures on the IAF MLA Structure and for Expansion of the Scope of the IAF MLA. The scope of the IAF MLA is detailed in the IAF MLA Status document.

The IAF MLA is structured in five levels: Level 1 specifies mandatory criteria that apply to all ABs, ISO/IEC 17011. The combination of a Level 2 activity(ies) and the corresponding Level 3 normative document(s) is called the main scope of the MLA, and the combination of Level 4 (if applicable) and Level 5 relevant normative documents is called a sub-scope of the MLA.

- The main scope of the MLA includes activities e.g. product certification and associated mandated standards e.g. ISO/IEC 17065. The attestations made by CABs at the main scope level are considered to be equally reliable.
- The sub scope of the MLA includes conformity assessment requirements e.g. ISO 9001 and scheme specific requirements, where applicable, e.g. ISO 22003-1. The attestations made by CABs at the sub scope level are considered to be equivalent.

The IAF MLA delivers the confidence needed for market acceptance of conformity assessment outcomes. An attestation issued, within the scope of the IAF MLA, by a body that is accredited by an IAF MLA signatory AB can be recognized worldwide, thereby facilitating international trade.

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## **Introduction to IAF Mandatory Documents**

The term “should” is used in this document to indicate recognised means of meeting the requirements of the standard. A CB can meet these in an equivalent way provided this can be demonstrated to an AB. The term “shall” is used in this document to indicate those provisions which, reflecting the requirements of the relevant standard, are mandatory.

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## IAF Mandatory Document for the Collection of Data to Provide Indicators of Management System Certification Bodies' Performance

*This document is mandatory for the consistent application of ISO/IEC 17011. All clauses of ISO/IEC 17011 continue to apply and this document does not supersede any of the requirements in that standard. This mandatory document is exclusively for the accreditation of management system certification bodies.*

### 0. INTRODUCTION

This mandatory document on the collection of data to provide indicators of a Management System Certification Body's performance is aimed at providing input to Accreditation Bodies for managing the corresponding surveillance activities as foreseen in ISO/IEC 17011, clause 7.11.2, which requires Accreditation Bodies to:

*“establish procedures and plans for carrying out periodic surveillance on-site assessments, other surveillance activities and reassessments at sufficiently close intervals to monitor the continued fulfilment by the accredited CAB of the requirements for accreditation”.*

Some Accreditation Bodies have developed these “other surveillance activities” based on the collection of performance indicators. It is also recognized that Certification Bodies have their own indicators to evaluate their own performance, as well as the performance of their auditors and other employees. Other indicators were discussed and will be listed in an ISO/IAF AAPG paper.

Some of these indicators could provide an insight into the effectiveness of the Certification Body's processes in ensuring that the intended purpose of certification is achieved.

This mandatory document specifies a set of indicators that shall be collected and reviewed periodically by an Accreditation Body to supplement onsite assessments.

It is expected that the analysis of these indicators may lead to adjustments in surveillance activities.

This document represents the consensus of all IAF members and does not preclude the possibility of Accreditation Bodies developing additional indicators in consultation with their stakeholders.

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## 1. SCOPE

This document identifies the “indicators” which Accreditation Bodies shall require accredited Management System Certification Bodies to report to them on a periodic basis.

This document applies to all Accreditation Bodies members of IAF.

## 2. TERMS AND DEFINITIONS

For the purpose of this document, the terms and definitions given in ISO/IEC 17011, ISO/IEC 17021, IAF mandatory documents and the following shall apply:

**Indicator** - A trend or a fact that indicates the state or a level of certification activities.

## 3. INDICATORS TO BE COLLECTED AND REVIEWED

Accreditation Body members of IAF shall collect the following indicators from Certification Bodies on an annual basis, the default period being on January of every year, unless otherwise agreed between the Accreditation Body and the Certification Body. The indicators below shall be reported by country and by certification standard under the accreditation of each Accreditation Body:

### 3.1 Number of accredited certificates valid at the end of December

*Note: Analysis of this data indicates any change in number of certificates in a given time period. Based on the data provided, Accreditation Bodies would be able to gain a fair understanding of any significant change in the Certification Body's operations (See Annex 1 for the methodology to be followed).*

### 3.2 Number of auditors

*Note: This information, together with information in 3.1, would give an indication if the Certification Body has appropriate resources for managing the certification programs. It is to be collected at the same time as the information in 3.1 and include all auditors as defined by ISO/IEC 17021.*

### 3.3 Number of transfers accepted

*Note: This data refers to the number of transfers (as defined in IAF MD2) accepted by the Certification Body since the preceding reporting period. While transfers could be for many reasons, any sudden increase in the number of transfers could provide an Accreditation Body with input for further review during onsite assessment.*

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### 3.4 Number of overdue audits

*Note: This information would provide an Accreditation Body with input on how well a Certification Body is managing its audit program. Overdue audits would be those that were not carried out in the time period as stated in the Certification Body's procedures. The number reported should range until the preceding reporting period.*

### 3.5 Number of auditor-days delivered

*Note: Auditor-days is to be understood as stated in IAF MD5. This information would provide an Accreditation Body with an indication of resources used by the Certification Body and should be compared with the other indicators. The number reported should range until the preceding reporting period.*

## 4. IMPLEMENTATION

Each Accreditation Body shall provide guidance to Certification Bodies on how the data on indicators should be provided. Accreditation Bodies should also consider the extent of multi-site certifications issued by a Certification Body and consequently decide on the usefulness of collecting information about multi-site certifications. Accreditation Bodies should also consider if any contractual agreement with a Certification Body should specifically address the requirement of providing these indicators periodically, at least once per year.

End of IAF Mandatory Document for the Collection of Data to Provide Indicators of Management System Certification Bodies' Performance.

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## ANNEX 1 (NORMATIVE) - HOW TO REPORT THE TOTAL NUMBER OF VALID CERTIFICATES

The indicator described in 3.1 requires Certification Bodies to report the total number of valid certificates issued. The number of valid certificates should be reported according to the following rules:

- If a client holds a valid certificate which covers one site, this has to be counted as one certificate (single-site certificate).
- If a client holds one certificate, which covers more than one site, it is still counted as one certificate as only one certificate was issued (multiple-site certificate). If, however, the multiple sites are certified individually, then each granted certificate has to be counted (as for single-site certificates).
- Whether a client holds several single-site certificates (with each site holding its own individual certificate) or a single multiple-site certificates (with one valid certificate covering a number of sites), Certification Bodies shall report the total number of certificates.
- If a client is certified to more than one management system, and a Certification Body has issued only one certificate to cover both scopes, this should be counted with as many certificates as management systems are covered by the certification, i.e. one per management systems standard.

*Note: A valid certificate refers to a certification that is currently under the validity of a certification contract, either with an active or suspended status. Withdrawn certificates, as well as applications, are not to be counted for this purpose.*

### Further Information

For further information on this document or other IAF documents, contact any member of IAF or the IAF Secretariat.

For contact details of members of IAF see - IAF Web Site - <<http://www.iaf.nu>>

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