



ACCREDITATION RULE 43
Issue Date: 2011/07/01
Implementation Date: 2012/07/01
New

SUBJECT: Accreditation Program for Environmental Management Systems (EMS)

APPLIES TO: ISO 14001 (EMS) ANAB-Accredited and Applicant Certification Bodies

PREFACE

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

ACCREDITATION RULE

1. Requirement Documents (current versions)
 - 1.1. ISO 14001, Environmental management systems – General guidelines on principles, systems and support techniques
 - 1.2. ISO/IEC 17021, Conformity assessment – Requirements for bodies providing audit and certification of management systems
 - 1.3. MA 6000, ANAB Accreditation Manual, and applicable ANAB Accreditation Rules
 - 1.4. IAF Mandatory Documents as applicable
2. Prerequisites
 - 2.1. A CB shall conform with ISO/IEC 17021.
3. Application Process
 - 3.1. EMS applicant CBs can obtain an application for informational use at www.anab.org.
 - 3.2. The application process outlined at <http://www.anab.org/certification-bodies/become-a-certification-body.aspx> must be completed via ANAB's Enterprise Quality Manager (EQM) database when the CB is ready to apply for EMS accreditation.
 - 3.3. The application fee includes the cost of one assessor day for the off-site documentation review.
4. Initial Assessment and Accreditation
 - 4.1. An ANAB accreditation assessor shall conduct a full documentation review.
 - 4.2. After the documents are found acceptable, ANAB shall conduct an office assessment and required witnessed audits.
 - 4.2.1. The office assessment normally shall be conducted on site and is to be conducted to ensure the CB's certification process for EMS conforms with ISO/IEC 17021.
 - 4.2.2. ANAB shall witness the CB conducting a two-stage audit process (stages 1 and 2).
 - 4.2.2.1. The stage 2 EMS audit shall be conducted by a team of at least two auditors of the CB.
 - 4.2.2.2. The ANAB assessment team shall have the same number of members as the CB audit team.
5. Ongoing Surveillance

- 5.1. ANAB shall conduct an annual office assessment, and annually witness a CB team conducting an EMS audit.
 - 5.1.1. The office assessment shall be conducted concurrently with other ANAB accreditation programs for which the CB is accredited.
 - 5.1.2. Annual witnessed audits may be surveillance audits; however, one annual witnessed audit in the accreditation cycle shall evaluate the CB's recertification process and one annual witnessed audit in the accreditation cycle shall evaluate the CB's initial certification audit (stages 1 and 2) process. One of the annual witnessed audits (including the stages 1 and 2 certification audits) during the accreditation period may be an industry-specific audit to a subordinate standard.
6. Re-accreditation
 - 6.1. The EMS accreditation period initially shall be four years *or* shall be established to coincide with the CB's current accreditation period (if any), and thereafter shall be four years.
 - 6.2. ANAB shall conduct a document review, on-site office assessment, and witnessed audits.
 - 6.2.1. The required witnessing of a CB's initial audit (stages 1 and 2) may be achieved any time within the accreditation cycle; however, it must be completed prior to re-accreditation.
7. Scope of Accreditation
 - 7.1. The scope of accreditation shall be for scopes specified in Annex 1. The risk levels for EMS scopes are based on the major environmental aspects associated with product and/or service processes. While Annex 1 identifies some of the major environmental aspects commonly associated with organizations in each scope, it is understood that within a scope the environmental aspects will be unique for each organization.
 - 7.1.1. Level 2 risk scopes require a witnessed audit prior to initial accreditation for the scope.
 - 7.1.2. Level 1 risk scopes may require a witnessed audit prior to initial accreditation for the scope.
 - 7.2. During the initial application review, ANAB will determine the witnessing needed for the scopes sought by the CB.
 - 7.3. Expanding the scope of accreditation
 - 7.3.1. The CB is to provide a completed scope application (via EQM) that includes evidence demonstrating an appropriate level of competence for the desired scope(s).
 - 7.3.1.1. The CB is not allowed to apply for a scope until any open ANAB nonconformances with regard to competence are closed.
 - 7.3.2. A competent accreditation assessor or technical reviewer will review the application and documentation, including the CB's competencies and processes for the specific scope(s), and prepare a written response on the CB's conformance, which shall result in one of the following recommendations:
 - a. Witness a CB audit prior to further review of the application and the conditions of the witnessed audit.
 - b. Grant the scope.
 - c. Not grant the scope.
8. Expected Outcomes for Accredited Certification to ISO 14001
 - 8.1. The expected outcomes for an organization with accredited certification to ISO 14001 are documented in a Joint Communiqué issued by IAF and ISO (<http://www.anab.org/media/17253/expectedoutcomesiso14001.pdf>).
 - 8.2. The CB shall have processes to ensure that its auditors and other certification personnel are knowledgeable of the expected outcomes and consistently reinforce them with the CB's clients.

9. Competence of CB Personnel

- 9.1. When determining competence criteria for EMS, the technical areas shall be related to the environmental aspects affecting air, water, land, natural resources, flora, fauna, and humans resulting from the processes for making the products or providing the services of an organization.



ACCREDITATION RULE 43 Annex 1. EMS Scopes

Note: While the scope of accreditation is the economic sector/activity, the CB will need to demonstrate competence for the major environmental aspects commonly associated with organizations in the economic category. It is understood that within a scope the environmental aspects will be unique for each organization and may differ from those identified in this table.

Scope	Description of Economic Sector/Activity	NACE Division/ Group/Class (rev.2)	Common Environmental Aspects	Risk Level
1	Agriculture, forestry and fishing	01, 02, 03	Pesticides/herbicides, groundwater	1
2	Mining and quarrying	05, 06, 07, 08, 09	Hazardous waste, groundwater	1
3	Food products, beverages and tobacco	10, 11, 12	Industrial water effluent treatment, energy usage, pesticides	1
4	Textiles and textile products	13, 14	Industrial water effluent without treatment, energy usage, solid waste	1
5	Leather and leather products	15	Industrial water effluent treatment, solid waste	1
6	Wood and wood products	16	Solid waste, energy usage	1
7	Pulp, paper and paper products	17	Industrial water effluent treatment, air emissions, hazardous chemical storage	1
8	Publishing companies	58.1, 59.2	Solid waste, hazardous chemical storage, energy usage	1
9	Printing companies	18	Solid waste, hazardous chemical storage, energy usage	1
10	Manufacture of coke and refined petroleum products	19	Hazardous and bulk chemical storage, industrial water effluent treatment, hazardous air emissions, hazardous waste	1
11	Nuclear fuel	24.46	Radiation/radioactivity	2
12	Chemicals, chemical products and fibers	20	Hazardous and bulk chemical storage, industrial water effluent treatment, hazardous air emissions, hazardous waste	2
13	Pharmaceuticals	21	Hazardous and bulk chemical storage, industrial water effluent treatment, hazardous waste	1
14	Rubber and plastic products	22	Hazardous and bulk chemical storage, industrial water effluent treatment, hazardous air emissions, hazardous waste	1
15	Non-metallic mineral products	23, except 23.5 and 23.6	Energy usage	1
16	Concrete, cement, lime, plaster etc	23.5, 23.6	Air emissions, solid waste	1
17	Basic metals and fabricated metal products	24 except 24.46, 25 except 25.4, 33.11	Solid waste, hazardous chemical storage, energy usage	1
18	Machinery and equipment	25.4, 28, 30.4, 33.12, 33.2	Hazardous waste, hazardous chemical storage, industrial water effluent	1
19	Electrical and optical equipment	26, 27, 33.13, 33.14, 95.1	Hazardous waste, hazardous chemical storage, industrial water effluent	1
20	Shipbuilding	30.1, 33.15	Hazardous waste, hazardous chemical storage, industrial water effluent, solid waste	1
21	Aerospace	30.3, 33.16	Hazardous waste, hazardous chemical storage, industrial water effluent, solid waste	1
22	Other transport equipment	29, 30.2, 30.9, 33.17	Hazardous waste, hazardous chemical storage, industrial water effluent, solid waste	1
23	Manufacturing not elsewhere classified	31, 32, 33.19	Solid waste, Industrial water effluent, air emissions	1

Scope	Description of Economic Sector/Activity	NACE Division/ Group/Class (rev.2)	Common Environmental Aspects	Risk Level
24	Recycling	38.3	Hazardous waste, solid waste, sanitary effluent	2
25	Electricity supply	35.1	Air emissions, industrial water effluent	1
26	Gas supply	35.2	Air emissions	1
27	Water supply	35.3, 36	Drinking water effluent treatment	1
28	Construction	41, 42, 43	Sanitary effluent, noise pollution, energy usage	1
29	Wholesale and retail trade; repair of motor vehicles, motorcycles and personal and household goods	45, 46, 47, 95.2	Hazardous chemical storage, sanitary effluent	1
30	Hotels and restaurants	55, 56	Solid waste, hazardous chemical storage, sanitary effluent, pesticides	1
31	Transport, storage and communication	49, 50, 51, 52, 53, 61	Bulk oil storage, energy usage, hazardous chemical storage, air emissions	1
32	Financial intermediation; real estate; renting	64, 65, 66, 68, 77	Energy usage, air emissions	1
33	Information technology	58.2, 62, 63.1	Energy usage, hazardous waste, solid waste	1
34	Engineering services	71, 72, 74 except 74.2 and 74.3	Hazardous chemical storage, hazardous waste, air emissions, sanitary effluent	1
35	Other services	69, 70, 73, 74.2, 74.3, 78, 80, 81, 82	Hazardous chemical storage, hazardous waste	1
36	Public administration	84	Energy usage, solid waste	1
37	Education	85	Energy usage, solid waste	1
38	Health and social work	75, 86, 87, 88	Biohazard waste, radiation/radioactivity, sanitary effluent	1
39	Other social services	37, 38.1, 38.2, 39, 59.1, 60, 63.9, 79, 90, 91, 92, 93, 94, 96	Wide variation	1