INSTITUTE FOR ACCREDIATION OF THE REPUBLIC OF MACEDONIA

Procedure for assessment in the office and witnessing of certification bodies for management system

PR 05-07

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1. PURPOSE

The purpose of this procedure, adopted by the director of IARM, pursuant to article 23 of the Statute of IARM, is to define the assessment in the office and Witnessing Activities for the Accreditation of Management Systems Certification Bodies. This document will enable IARM to determine whether the CB has competent scheduling/planning and auditing personnel, and to assess the CB's competence to perform certification audits.

2. DEFINITIONS

For the purpose of this document, the definitions below are applicable.

Witnessing
Observation of the CAB carrying out conformity assessment services within its scope of accreditation (clause 3.21 of ISO/IEC 17011:2004)
Witnessing of an audit is an activity performed by an AB whereby it observes, without interfering and influencing, an audit performed by a CB audit team.
Depending upon the objectives of the witnessing, the complete audit may be observed or just relevant parts of the audit. The witnessing is done on-site at the CB client premises or observing remote auditing via electronic means.
Note: IARM may witness other activities conducted by CBs as part of their accreditation process, outside of the scope of this document.

File review
Activity performed by IARM whereby it reviews and evaluates the records and documents pertaining to a given certification file, in order to determine whether the relevant CB procedures were followed and implemented. This is normally done at the CB premises, with the appropriate CB staff and/or auditors, although it may be performed remotely or elsewhere (eg: CB client premises) as appropriate and agreed.

Scope of accreditation
Specific management system standards and their relevant parts, codes, sectors, categories or technical areas, according to which CBs grant an accredited certification in a specific location.

3. GENERAL POLICIES

Objectives

The objective of **assessment in the office and** witnessing, is to provide assurance of the competence of the MS CB across the scope of accreditation. The competence requirements related to auditing and auditing personnel are specified in ISO/IEC 17021 series, and in IARM's procedure PR 03-05.

IARM covers the scope for each applicant and accredited CB through the use of the various mechanisms that are available, including:

- office assessment activities;
- witnessing activities; and
- other assessment activities, as defined in Procedure: PR 05-02 Assessment Methodology (point 4.)

IARM shall ensure that the requirement for witnessing by the IARM is included in the contract agreements between CBs and their clients and confirm that refusal to accept a witness assessment by the IARM, must be justified and accepted by the CB and the IARM, and could result in withdrawal of accredited certification where reasons are not accepted.

3.1 General instructions for office assessment activities

In the course of the assessment of the certification body's head office or its dislocated sites, the assessor team shall use, in addition to the general assessment techniques, the following techniques: examination of records, system documents, interviews with the certification body's staff. They shall especially focus on:

• organizational structure of certification body, the appropriate position and composition of the Management Board / mechanism for safeguarding impartiality / committee for safeguarding impartiality (involvement of all parties interested in certification, involvement of specific parties interested in certification of different management systems, balanced representation of interested parties) and the authorities of the Board / mechanism for safeguarding impartiality / impartiality protection / committee for safeguarding impartiality;

• ensuring impartiality of certification activities, identifying risk to impartiality, controlling risks, (ongoing activity, providing information to the Board / mechanism for safeguarding impartiality / impartiality protection committee for safeguarding impartiality / interested parties, top management commitment);

• financial stability, resources;

• appropriate relations and cooperation with clients (access to certification service, appropriate contracts with clients, non-discriminatory treatment of clients);

• ensuring confidentiality;

• proper division of the functions of certification/education/verification/testing/inspection, when several such activities are performed within the same certification body;

• appropriate management of the competencies of the staff involved in certification procedures;

• the certification process, and controlling and maintaining records in order to prove efficient implementation of the certification process;

• the assurance of independence at the decision-making level as to grant/refuse/withdraw a certificate, and auditing;

• the suitability of subcontractors, when relevant;

• the performance of certification activities at dislocated sites (key and non-key activities);

-the efficiency of the control system for the sites at which the critical activities are performed, when relevant;

- the performance of conformity assessment procedures abroad;
- accessibility (public accessibility of information);
- making reference to certification and the use of marks (ISO/IEC 17021-1, 8.3.3);
- the implementation of the relevant documents, other guidance documents; and
- performing certification by fields/schemes/standards from the scope of accreditation

3.1.1 Certification body operating certification of management systems

When assessing a certification body for certification of management systems, the following shall be checked in addition to that mentioned under 3.1:

- the procedure of defining the requirements for the competencies (knowledge, experience, skills) of the staff taking part in conducting and carrying out audits and certification (for all types of management systems, for any technical field and for any function in certification process), and the results of implementation of the procedure (MKC EN ISO/IEC 17021-1 : 2016, 7.1.2, Annex A; MKC EN ISO/IEC 17021-2, and/or MKC EN ISO/IEC 17021-3 andIAF MD 10;);

- the procedure of initial competence evaluation, regular monitoring of competencies of the staff taking part in conducting and carrying out audits (MKC EN ISO/IEC 17021-1 : 2016, 7.1.3;), and evidence of meeting the requirements for staff (IAF MD 10);

- the procedure of selecting and appointing the auditor team (selection criteria) (MKC EN ISO/IEC 17021-1 : 2016, 9.2.2);
- the procedure and criteria of appointing the effective number of personnel (IAF MD 5);
- the procedure of defining the audit time, decreasing and increasing the audit time (appropriateness of criteria, compliance with criteria) (MKC EN ISO/IEC 17021-1 : 2016, 9.1.4; IAF MD 5;IAF MD 11);
- drawing up an audit programme for the complete certification cycle, indicating audit activities (MKC EN ISO/IEC 17021-1 : 2016, 9.1.3);
- defining the audit plan and objectives (certification body), scope of audit (integrated …, participants' roles) and audit criteria as well as reporting on achievements (MKC EN ISO/IEC 17021-1 : 2016, 9.2.3;);
- the auditors' competencies, especially when the certification of environmental management and health and safety at work is concerned in the fields where the clients' representativeness is poor and the audit is carried out less frequently. The frequency of assessing the adequateness of maintenance of auditors' competencies in individual fields shall be adapted by the assessor to the speed of development of techniques, technologies and systems … for individual fields (e.g., the fields of IAF 19, IAF 33, IAF 3, IAF 12, IAF 13 will need more frequent assessment of the proper maintenance of competencies);
- the procedure of specifying the audit findings and remedying the nonconformities;
- the procedure of evaluating the efficiency of corrections and corrective actions (MKC EN ISO/IEC 17021-1 : 2016, 9.4.10);
- the completeness of audit report (MKC EN ISO/IEC 17021-1 : 2016, 9.4.8);
- the procedures in the "multi-site" certification procedure (IAF MD 1; IAF MD 5, ; MKC EN ISO/IEC 17021-1 : 2016, 9.1.5;);
- the procedures of the two-stage audit (MKC EN ISO/IEC 17021-1 : 2016, 9.3.1;)
- the introduction of risk-based approach;
- the procedure in the event of transfer of certificate from another certification body (MKC EN ISO/IEC 17021-1 : 2016, 9.5.2.2, IAF MD 2);
- carrying out remote audits (IAF MD 4, IAF MD 5);
- auditing the scope of certification in the case of the organisation outsourcing a part of its functions (IAF MD5);
- • informing the clients of the presence of IARM at witnessing and its policy in the case they refuse witnessing (inclusion in the contract with the client, possible sanctions); and
- special audits (MKC EN ISO/IEC 17021-1 : 2016, 9.6.4).

3.1.1.1 Certification of environmental management systems to ISO 14001

In assessing a certification body for environmental management systems, attention shall be paid to:

- the definition of the requirements for competence for each function in the certification process and for each EMS field in accordance with ISO/IEC TS 17021-2, 5–7;
- competencies of the auditors: general competence according to MKC EN ISO/IEC 17021-1 : 2016, 7, and specific EMS knowledge according to ISO/IEC 17021-2, 5.1–5.10;
- the definition of the requirements for competence in environmental aspects for individual EMS fields according to ISO/IEC 17021-2, 6.1–6.7;

-the definition of the requirements for other personnel according to ISO/IEC 17021-2, 7.1–7.2.

• (in the transition period for ISO 14001:2015) adjustment of the criteria for competence of auditors (knowledge of the audited organisation's environment, understanding the risks, communication, knowledge of the audited organisation's processes, …).

3.1.1.2 Certification of management systems to ISO 9001

In assessing a certification body for management systems, attention shall be paid to:

• the definition of the requirements for competence for all functions in the certification process in accordance with ISO/IEC 17021-3, 4;

• competencies of the auditors: general competence according to EN MKC EN ISO/IEC 17021-1 : 2016, 7, and specific knowledge according to ISO/IEC 17021-3,5;

• the definition of the requirements for other personnel according to ISO/IEC 17021-3, 6;

(in the transition period for ISO 9001:2015) adjustment of the criteria for competence of auditors (knowledge of the audited organisation's environment, understanding the organisation's context

3.2 General instructions for using witnessing to cover the scope of accreditation

IARM prepares an assessment programme (***OB 05-62-5-1)*** covering the scope of each applicant or accredited CB for each accreditation cycle. The programme must be periodically reviewed and updated, as needed.

The programme shall consider the need to assess any cross-frontier certification activities, based on the size of the CB operations, their criticality, and feedback from the local AB. If witnessing is needed, the IARM will cooperate with the local AB, according to MLA rules and regulations.

3.2.1 Witnessing the performance of audits

Witnessing of audits shall be aimed at verifying the efficiency of the certification procedure (appointing the appropriate auditors, correct definition of the audit time), the appropriateness of setting the scope of certification and establishing the competencies of auditors (compliance with the audit procedure, demonstration of the appropriate knowledge and understanding of the certification criteria, presence of suitable auditing skills, and ability to audit the fulfilment of the relevant criteria), and at providing a representative sample for the assessment of competence of the certification body.

Note: Witnessing can also be initiated for other reasons, according to the IARM procedures and/or policies e.g. upon the receipt of complaints, claims, disputes, market or regulator feedback.

The assessors shall only observe the audit and shall not influence its proceeding by their actions, or ask questions to the auditee, or express their opinions.

Before starting the witnessing of an audit, the certification body whose audit is to be witnessed shall provide: the report from previous audit; an audit programme with information on auditors and audit sites; information on the competence of the auditors included in the audit to be witnessed; calculation of audit time; a description of the client's organisation, activity; and other,. The assessor shall assess the documents provided and adapt the assessment accordingly.

When witnessing/assessing the performance of auditor team, the assessors shall closely monitor (MKC EN ISO/IEC 17021-1 : 2016, 9.4):

• the performance/mutual co-operation of the members of auditor team (including observers, interpreters …), team leading (controlling changes in plan);

- the knowledge of auditing/verification procedures and techniques;

- the way of communicating with the client (initial (contents), closing meeting (contents, attendance list), control of contingencies);
- the capability of obtaining substantial evidence (asking proper questions and focusing on the important requirements);
- the knowledge of the certification requirements (for a product/product group and the requirements for conformity of a product/product group, knowledge of specific requirements for certification of different management systems, knowledge of the national environmental requirements; knowledge of the requirements for the competencies of the client's staff and the requirements for the competencies of certified staff);
- the reporting of findings (correct definition of a finding; nonconformities shall not be reported in terms of possibilities for improvement; a finding shall refer to the criterion and the evidence);
- coordination of different opinions regarding findings; any disagreements should be recorded; and
- the duration, appropriateness of the audit programme (relevance of sites, coverage of the scope).

Within two weeks after the conclusion of the audit, which was witnessed by IARM assessors, the certification body shall submit to IARM its report prepared for the management of the auditee organisation. The assessor team shall prepare a report on witnessing the audit (form OB 05-56-2), which shall include information on implementation of the certification procedure, on the audit carried out, the performance and competence of the auditor team, and also information on evaluation of the contents of the subsequently sent report. Particular attention should be paid to the contents of the report (nonconformities shall not be reported in terms of possibilities for improvement; findings shall refer to the criterion and the evidence, conclusions…)(MKC EN ISO/IEC 17021-1 : 2016, 9.4.8).

Normally, the full on-site audit shall be witnessed, unless objectives for a particular activity can be satisfied with a partial witnessing. If a case of reduced witness audits occure, IARM shall document the reasons for deviation from the basic principles of witnessing. However the objective of witnessing shall be met. When witnessing an audit, the assessors shall assess the performance of the complete audit team. Opening and closing meeting shall be witnessed, also audit of all relevant processes od the CB's client management system.

When possible, the assessors shall inform the auditors of the witnessing results immediately after the audit in the company has been completed, but without the presence of the auditee.
Note: The certification body's client shall be responsible for the safety of assessors while witnessing the audit, and shall inform all the participants of the measures taken. Should IARM's assessors perceive potential risk of damage during the course of the audit, they shall take immediate action and request to meet with the lead auditor.

3.3 General instructions for using vertical audits to cover the scope of accreditation

The criteria for sampling for ensuring coverage of whole scope of accreditation are given in Procedure for sampling during assessment PR 05-08.

3.3.1 Vertical audit

At the initial assessment and the re-assessments of a certification body for management systems, at least two procedures of certification for each basic certification scheme (management system standard) shall be assessed through vertical audits, as follows:
- ISO 9001 – The selection shall be made from among the most critical or complex groups of sectors (IAF MD 5) from the scope of accreditation;
- ISO 14001 – The selection shall be made from among the most critical or complex groups of sectors (IAF MD 5) from the scope of accreditation;

The selection shall also include cases of multi-site organisations, cases involving transfer of certificates, and cases of certification procedures carried out abroad, as well as initial audits, surveillance audits and integrated audits.
Regular surveillance visits shall include at least one vertical audit for each certification scheme, so that all the sectors/groups within the accreditation schemes are examined in one assessment period.
In vertical audit, attention should also be paid to the following:

- how the findings and conclusions are presented (nonconformities shall not be reported in terms of possibilities for improvement; findings shall refer to the criterion and the evidence) (MKC EN ISO/IEC 17021-1 : 2016, 9.4.5); and
- documentation of verification of the efficiency of corrections and corrective actions (MKC EN ISO/IEC 17021-1 : 2016, 9.4.10).

4. PROCEDURE FOR CARRYING OUT A WITNESSING

When requested, the CB shall promptly provide to the IARM the complete and updated schedule of confirmed and planned audits (dates, location, audit team composition, audit type and scope, etc.), in order to allow the IARM to schedule or update the program for the coverage of the scope of accreditation.

If the CB client refuses the IARM witnessing, the CB shall duly justified such situation and it shall be accepted by the IARM.

When deciding how many and which audits are to be witnessed, IARM shall take into account factors such as: the CB's overall performance;

- factors such as process complexity or legislation etc. which influence the ability of the certified organisation to demonstrate its ability to meet the intended outcomes of the MS;
- feedback from interested parties including complaints about certified organizations;
- the results of the CB's internal audits;
- scheme owner requirements, if applicable;
- changes in CB work patterns – growth of work within a specific region or technical area;
- number of clients within the CB’s scope of accreditation;
- confidence in the CB’s auditor evaluation and approval process; and
- previous or other office or witnessing assessment results, etc.

The following additional factors may be taken into account to select witnessing activities:

- number of certificates issued;
- number of auditors;
- different auditors;
- whether auditors are internal staff or external resource;
- different audits, initial audit (stage 1/stage 2), surveillance and recertification;
- complex clients, combined and/or integrated audits, multi-site audits;
- countries where audits in the certification process are performed;
- result of previous witnessing activities;
- complaints, customer surveys;
- interested parties and regulators requests;
- the technical clusters already assessed;
- experience from other types of accreditation of the CB, if applicable;
- previous history of the CB’s ability to manage its operations;
- level of controls exercised by a CB over its critical activities;

- specific scheme requirements; and
- national agreements with clients.

Pre-witness activities shall ensure that the AB has the CB's audit plan, previous audit reports if applicable, audit team competence records and the justification for calculation of the audit time.

For each witnessing, the IARM appoints an assessment team, competent in the relevant scope of accreditation. IARM shall inform the CB in advance of the AB assessment team composition. The CB and/or its client can object to the nomination of a given IARM assessor on the grounds of demonstrated close or direct relationships with competitors (threats to impartiality) or a previous valid complaint against an assessor, etc.

It is the duty of the CB to inform its client, to explain the witnessing procedure, and to get the client's agreement. The CB is not expected to change its audit team, audit plan or audit duration due to the witnessing. If such changes do take place, the CB shall provide appropriate justification to the IARM.

During witnessing, the IARM assessors' activities shall be those of an observer, without influencing the conduct of the audit by the CB's audit team. Access to the client's documentation reviewed by the CB's audit team shall be promptly provided to the IARM's assessors upon request.

Any information collected during the witnessing of an audit is confidential and shall be treated by the IARM assessors and staff accordingly.

The direct questioning of the CB's client by the IARM is not allowed, as this can affect the outcome of the audit. IARM assessors shall not provide any opinions to the CB, while the audit is being conducted. IARM's assessors shall not provide any opinions to the CBs client at any time. IARM's assessors should ensure that their presence and witnessing activity is not perceived as interference by the CB's client, and is instead viewed positively.

Feedback on the CB's performance, including any assessment findings/non-conformities, shall be given to the CB's audit team when the witnessing is completed. This should occur after the audit, always in the absence of the CB's client.

When relevant to the objective and scope of the witnessing, the IARM's assessors shall get and review the CB's own audit report (and any additional information required).

It is the responsibility of the CB's client to inform in advance the audit team and the AB assessors, of all the applicable safety requirements. IARM's assessors shall conform to safety rules made known to them by the organization; however, it is expected that IARM's assessors shall take immediate action at any time to avoid injury, including leaving the area or the organization if necessary.

If at any time during the assessment of a CB audit the IARM's assessor observes a potential condition he or she considers to be an imminent risk of high severity (e.g. health and safety or the environment) the IARM's assessor shall request an immediate private meeting with the CB's audit team leader to inform him or her of the potential threat, with the expectation that the CB's audit team leader will address the threat with the organization in accordance with the CB's process and any legal obligation.

The report on witnessing shall give evidence and provide the conclusions and judgement of the assessment team as to the implementation of CB process to perform the audit and the conformity and performance of the CB team, with the relevant requirements and the overall competence of the CB for the activities it performs. IARM witnessing report (OB 05-56-2) shall include. where applicable:

- comments on CB planning (determination of audit time, audit programme and audit plan);
- audit team (competence of the team, job assignment, scope coverage and effectiveness of the audit);
- auditing technique (interview, observation of processes and activities, review of documentation and records, sampling, establishment of audit trails, ability to collect, verify and record evidence of conformity and nonconformity in line with the required elements for the type of audit, appropriateness of grading of findings, handling of previous findings, reporting, opening and closing meetings and debriefs);
- comments on CB findings and conclusions in relation to the client MS conformity and
    - implementation, and significant findings not reported or identified by the CB's audit
    - team, if applicable;
- others (e.g. whether impartiality was maintained, safety arrangements, confidentiality, regulatory or legal compliance, post-witnessing activities if included, conformity with the CB procedures);
- findings and conclusions identified during the witnessed audit; and
- a conclusion on the reliability of the CB’s report to reflect the actual audit findings and conclusions.

The IARM report on the witnessing should not duplicate the information already provided in the CB audit report.

If the IARM’s assessor was not present throughout the CB audit, the witness report should outline which audit activities were witnessed (including identification of the parts of the audit plan and which requirements of the MS standard were witnessed by the AB).

5. SPECIFIC APPROACH FOR SAMPLING OF SCOPES

How to read the tables – explanations

All the IAF codes (see IAF ID1) have been merged into a series of technical clusters (taking into consideration the applicable regulations, the technicalities of the processes, and the consequent competence needed by CB’s audit team) as appropriate for each type of MS certification (QMS and EMS).

Critical codes have been identified for each technical cluster. A critical code is a code that from a technical point requires the CB’s audit team to have a higher level of:

- competence (due to the complexity of the processes / environmental aspects involved), or
- caution (due to the risk of non-conformities and their impact, or to the high degree of regulation), or
- diligence (due to the desired personal behaviours that are important for personnel involved in certification activities as required in a specific context).

If another coding system is used, the CB shall establish a correlation between their coding system and the coding system defined in this document.

General rules applicable to QMS and EMS schemes

The assessment program shall guarantee that competence is assessed throughout the scope in the accreditation cycle, for all IAF codes of each MS scheme.

If this kind of assessment is not possible in the accreditation cycle, then the IARM's shall reduce the scope of accreditation.

In the initial accreditation cycle of each MS scheme (meaning from 1st surveillance to the 1st reassessment), the IARM's shall perform at least one witnessing activity in each technical cluster of each MS scheme. This programme will continue until the CB has demonstrated sufficient experience and performance for an enhanced programme. When this happens, the IARM shall perform at least one witnessing activity in each technical cluster of each MS scheme, to be complemented with other assessment activities to guarantee that each technical cluster is assessed during two successive accreditation cycles.
When the certification body demonstrates sufficient experience and improvements in performing audits, any of the planned witnessing may be replaced by a different way of assessment in order to make sure that every group/technical field/cluster in individual scheme is witnessed during two consecutive accreditation cycles. IARM shall document the reasons for deviation from the basic principles of planning witnessing.
The witnessing frequency established for the 1st cycle should be reinstated if significant changes occur in the CBs' auditor qualification process, auditing practices or results and audit personnel.

The following witnessing rules apply for the granting and extension of accreditation of each MS scheme to be complemented with other assessment activities to guarantee the appropriate coverage of the applicant scope:

i. if a technical cluster has only 1 critical code, the IARM shall perform a witnessing activity in this critical code to grant accreditation for all the IAF codes in that cluster - e.g. for QMS, cluster Food, with 1 witnessing activity in IAF code 03, the IARM can grant accreditation in the other IAF codes (01 and 30) of that cluster; for EMS, cluster Paper, with 1 witnessing activity in IAF code 09, the IARM can grant accreditation in the other IAF codes (7 and 8) of that cluster;

ii. if a technical cluster has more than 1 critical code, the IARM shall perform at least a witnessing activity:

a. in all the critical codes that are identified with an "and" (on the "Critical code" column);
e.g. for EMS, cluster Goods Production, with 1 witnessing activity in IAF code 04 or 05, the AB can grant accreditation in all the noncritical codes (06 and 23) of that cluster, but the other critical code (04 or 05) needs to be witnessed to be granted.

b. in one of the critical codes that are identified with an "or" (on the "Critical code" column);
e.g. for QMS, in cluster Mechanical, with 1 witnessing activity in IAF code 20 or 22, the IARM can grant accreditation in the other IAF codes (17, 18, 19, 20 or 22) of that technical cluster

iii. if it is not possible to perform a witnessing activity in the IAF code/s identified as critical, the IARM can agree with the CB on one of these two options:

a. the IARM can grant accreditation only in the non-critical IAF code/s of the technical cluster for one of which a witnessing activity is performed (e.g. for QMS - Food cluster - with 1 witnessing activity in IAF code 30, the IARM can grant accreditation for both IAF code 30 and 01), or

b. the IARM can grant accreditation in all the codes of the cluster, performing an office activity in the critical code/s, but on condition:

- that the CB has demonstrated its competence on a documental basis in all the codes of the cluster; and
- that the witnessing activity in the critical code/s takes place before any certificate in the critical code/s based on accreditation is issued.

However, in such cases, if the result of the witnessing activity is negative, the AB shall consider reducing the scope of accreditation.

Note: for existing accredited CBs, if they already hold accreditation for a critical code but not the related non-critical code they can have their accreditation extended to include the noncritical codes.

If the CB wants to be accredited only in one or more non-critical IAF codes, a minimum of one witness audit is required in each cluster with non-critical IAF codes.

For initial accreditation for each MS scheme, the IARM shall witness both stage 1 and stage 2 audits, for at least one of the CB's clients. Prior to witnessing the stage 2 of the same audit, the applicant CB shall submit the completed report and / or conclusions from the stage 1 audit to the IARM's assessment team. If the CB does not have any new clients, it is possible to witness one renewal or two surveillances which cover the key processes.

The possibility to grant accreditation in a whole IAF code (note: the word 'whole' reflects that some IARM's use more detailed scoping inside each IAF code, partitioning it in NACE codes or IAF sub-codes) is always subject to the CB demonstrating it has the competence to manage certification in all of the underlying technical areas.

In addition to the above, it is necessary to assess competence also for all noncritical codes before the IARMcan grant accreditation. Therefore accreditation shall be granted only:

i. in IAF codes where the CB has already taken decisions for certification (e.g. for QMS, with 1 witnessing in IAF code 03, the IARM shall grant accreditation only for IAF codes 30 and 03 in cases where the CB has taken no decisions for certification in IAF code 01).

In cases of an integrated or combined management system audit, the scope of the witnessing activity shall be agreed with the CB. If a witnessing activity has been recently performed in the same code, for a different purpose (e.g.: ISO 13485, ISO 3834, EN 9100), the IARM can consider removing the necessity of another witnessing activity.

QUALITY MANAGEMENT SYSTEMS (ISO 9001)

Technical cluster	IAF code	Description of economic sector/activity, according to IAF ID1	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	7	Limited to "Paper products"	9
	8	Publishing companies	
	9	Printing companies	
Minerals	2	Mining and quarrying	2 or 15

	15	Non-mettalic mineral products	
	16	Concrete, cement, lime, paster, etc..	
Construction	28	Construction	28
	34	Engineering services	
Goods	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	7	Limited to “Pulp and paper manifacturing	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&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 or33
	32	Financial intrenediation; real estate; renting	
	33	Informatin technology	
	35	Other services	
	37	Education	
	36	Public administration	
Nuclear	11	Nuclear fuel	11
Pharmaceutical	13	Pharmaceutical	13
Aerospace	21	Aerospace	21
Health	38	Health and social work	38

ENVIRONMENTAL MANAGEMENT SYSTEMS (ISO 14001)

Technical cluster	IAF Code	Description of economic sector/activity, according to IAF ID1	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	17	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	7	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	
	7	Limited to “Pulp and paper manufacturing”	7 and 10 and 12 and 13
Chemical	10	Manifacture 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.	
	17	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&Waste management	24	Recycling	24 and 39 (limited to NACE 37, 38.1, 38.2, 39)
	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	29 or 35 or 36
	32	Financial intrenediation; 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

Reference documents

- PR 05-08Procedure for sampling during assessment
- R15 Regulation for determination of fields for Calibration, Testing, Inspection and Certification Areas
- MKC EN ISO/IEC 17021-1 : 2016
- IAF ID 1 IAF Informative Document for QMS and EMS Scopes of Accreditation
- IAF MD 1:2018 - IAF Mandatory Document for the Audit and Certification of a Management System Operated by a Multi-Site Organization
- IAF MD 2:2017 IAF Mandatory Document for the 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 10:2013 IAF Mandatory Document for Assessment of Certification Body Management of Competence in Accordance with ISO/IEC 17021: 2011
- IAF MD 11:2013 IAF Mandatory Document for 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 MD15:2014 IAF Mandatory Document for the Collection of Data to Provide Indicators of Management System Certification Bodies' Performance

Further documentation

- OB 05-62-5-1Plan for assessment of MCB (four years)
- OB 05-11 Time program for initial assessment / surveillance / reassessment
- OB 05-55-2 Check list for MCB
- OB 05-56-2 Report of witnessing of MCB
- OB 05-55-1-1 Check list – report of vertical audit of MCB
- OB 05-49-1 Assessment report of MCB