



SNAS

SLOVENSKÁ NÁRODNÁ AKREDITAČNÁ SLUŽBA

METHODICAL GUIDELINE FOR ACCREDITATION

**WITNESSING ACTIVITIES FOR THE
ACCREDITATION OF MANAGEMENT SYSTEMS
CERTIFICATION BODIES**

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This methodical guideline implements the requirements of the document IAF MD 17: 2019, Issue 2, Witnessing Activities for the Accreditation of Management Systems Certification Bodies in the conditions of SNAS.

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Introduction to the Use of this Document

The term „should“ is used in this document to indicate the recognized means of meeting the requirements of the standard. The Conformity Assessment Body (CAB) can meet these in an equivalent way provided this can be demonstrated to an Accreditation Body (AB). The term „shall“ is used in this document to indicate those provisions which, reflecting the requirements of the relevant standard, are mandatory.

1 GENERAL PART

1.1 DEFINITIONS

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

1.1.1 Witnessing

Observation of the CAB carrying out conformity assessment activities within its scope of accreditation (clause 3.25 ISO/IEC 17011:2017)

Witnessing of an audit is an activity, carried out by SNAS 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: SNAS may witness also other activities conducted by CB as part of their accreditation process, outside of the scope of this document.

1.1.2 File review

Activity performed by SNAS 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.

1.1.3 Scope of accreditation

Specific management system standards and their relevant parts, EA codes, sectors, categories or technical areas, according to which CB grants an accredited certification in a specific location.

1.2 GENERAL POLICIES

1.2.1 Objectives

1.2.1.1 The objective of witnessing, in conformity with art. 7.4.4 and art. 7.4.5 of ISO/IEC 17011:2017, 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.

1.2.1.2 The witnessing of CB's audits on their clients by accreditation bodies is valuable for:

- verifying, on site, the effective implementation of the CB's certification programs and procedures (and especially with regard to their assignment of competent audit teams and determination of audit time) and determine the correct assignment of scope by the CB for the client,
- observing the CB's auditors to evaluate if they:
 - a. conform with the CB's procedures;
 - b. adequately address the requirements of:
 - certification requirements;
 - applicable points of ISO/IEC 17021;
 - relevant IAF documents; and
 - any relevant sector specific requirements, as applicable.
- obtaining a representative sample of the competence of CB across the accreditation scope.

1.2.1.3 This document will enable SNAS to determine whether the CB has competent scheduling/planning and auditing personnel, and to assess the CB's competence to perform certification audits under accreditation.

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

1.2.2 General policy

1.2.2.1 To cover the scope for each applicant and accredited CB, SNAS uses the mechanisms available, including:

- office assessment activities;
- witnessing activities;
- other assessment activities – file reviews, interviews with auditors, etc.

SNAS ensures that the performance of a sample of the conformity assessment activities representative of the scope of accreditation (see 7.4.5 of ISO/IEC 17011: 2017).

1.2.2.2 SNAS requires the requirement for witnessing by the AB to be included in the contract agreements between CBs and their clients and confirm that refusal to accept a witness assessment by the accreditation body, must be justified and accepted by the CB and SNAS, and could result in withdrawal of accredited certification where reasons are not accepted.

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

1.2.3.1 SNAS prepares the assessment program that covers the scope of each applicant of accredited CB for each accreditation cycle. The program is periodically reviewed and updated, as needed.

1.2.3.2 The program considers 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 abroad, SNAS acts upon the MLA rules and regulations.

1.2.3.3 When deciding how many and which audits are to be witnessed, SNAS takes into account the following factors:

- CB's overall performance;
- factors such as process complexity or legislation, etc. which influence the ability of the certified organization to demonstrate the ability to meet the intended outcomes of the MS;
- feedback from interested parties including complaints about the certified organizations;
- the results of the CB's internal audits;
- scheme owner requirements, etc.;
- changes in the 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 can be taken into account to select the 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;
- complexity of clients, combined and/or integrated audits, multi-site audits;
- countries where audits in certification process are performed;
- results of previous witnessing activities;
- complaints, customer surveys;
- interested parties and regulators requests;
- the technical clusters already assessed;
- experiences from other types of accreditation of the CB;
- previous history of 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.

1.2.4 General instructions for carrying out a witnessing

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

1.2.4.2 The following solutions are possible when CB refuses the witness assessment (whether based on its own decision or decision of its client):

- a) when refusal by the CB is justified and accepted by SNAS, no sanctions are imposed, provided a new witnessing is prepared in the terms scheduled;
- b) when SNAS doesn't accept the CB justifications:
 - b1) and the refusal of witnessing are made pursuant to CB's own decision, the sanctions

are imposed, which are proposed by a professional guarantee and approved by OCO SNAS department manager. These sanctions can relate to the suspension of competence of specific auditors, suspension of revocation of accreditation validity either in the concrete area or management system;

b2) and the refusal of witnessing are made pursuant to CB customer's decision in order to prevent sanctions, the CB shall withdraw the existing accreditation certificate or, provided the client is not yet certified, the CB shall not enable to place the accreditation logo on the future certificate. If it be to the contrary, SNAS will proceed to the sanctions as set in the point b1);

The refusal of witnessing does not acquit the CB of other duties specified in this document.

1.2.4.3 If sanctions are imposed on a CB resulting in certificate withdrawal than SNAS notifies all ABs and all scheme owners that may be impacted, if their identity is known. An accredited certificate shall not be issued if, in order to avoid its audit witnessed, the organization transfers the certificate to another CB or if the CB intends to reissue the same certificate under the coverage of another AB.

1.2.4.4 If the witness assessment carried out on the territory of Slovakia, CB shall, at latest 6 weeks before the witnessing, deliver to SNAS number of auditor days and at latest 2 weeks before the witnessing, deliver to SNAS the audit plan, previous audit reports, if applicable, audit team competence records, audit programme and the justification for calculation of the audit time. If the witness assessment carried out outside the territory of Slovakia, CB shall, at latest 6 weeks before the witnessing, deliver to SNAS the audit plan, previous audit reports, if applicable, audit team competence records, audit programme and the justification for calculation of the audit time.

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

1.2.4.6 It is the duty of the CB to inform its client, to explain the witnessing procedure and 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 to SNAS an appropriate justification.

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

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

1.2.4.9 The direct questioning to CB's client by SNAS assessors is not allowed, as this can affect the outcome of the audit. SNAS assessors shall not provide any opinion to the CB, while the audit is being conducted. The SNAS assessors shall not provide any opinions to the CBs

clients at any time. The SNAS assessors should ensure that their presence and witnessing activity is not perceived as interference by the CB's client, and instead is viewed positively.

1.2.4.10 Normally, the full on-site audit shall be witnessed, unless objectives for a particular activity can be satisfied with a partial witnessing.

1.2.4.11 Feedback on the CB's performance, including any assessment findings/non-conformities is given by SNAS assessors to the CB's audit team when the witnessing is completed. The feedback includes outlining of the SNAS's reporting process, the CB response/reaction process and the SNAS decision making process. Where possible this feedback is provided to the CB's management as well. This occurs after the audit, always in the absence of CB's client.

1.2.4.12 The CB shall provide the SNAS assessment team with an own CB's audit report and any additional information required at latest 2 weeks after the witnessing in order to get it reviewed.

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

1.2.4.14 If at any time during the assessment of a CB audit the SNAS 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 SNAS 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.

1.3 PROCEDURES

1.3.1 The SNAS procedures for ensuring that appropriate mechanisms and criteria are in place to cover and assess the scope of accreditation (first or extension) in a representative way and scope of accreditation during any accreditation cycle are mentioned in the part 2 of this document.

1.3.2 The SNAS procedures are conform with the provisions set out in IAF MD 17, and detail:

- the approach to achieve representative sampling;
- the mechanisms used to cover the scope of accreditation and the criteria for selection and use of each mechanism; and
- the records to be kept.

1.3.3 The reports from witnessing give evidence and provide the conclusions and decisions of SNAS assessment team as to the implementation of CB process to perform the audit and the conformity with the relevant requirements of standards and the CB's capability for the activities it performs. SNAS witnessing report includes, where applicable, at least:

- comments on CB planning (determination of audit time, audit programme, if available, and audit plan);

- comments on audit team (competence of the team, division of work, scope coverage and effectiveness of the audit);
- comments on the auditing techniques (interviews, observation of processes and activities, review of documentation and records, sampling, establishment of audit trails, ability to collect, verify and record evidence on conformity and non-conformity 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);
- SNAS findings and conclusions identified during the witnessed audit; and
- conclusions on the reliability of the CB's report to reflect the actual audit findings and conclusions.

1.3.4 The SNAS report on the witnessing does not duplicate the information already provided in the CB audit report.

1.3.5 If the SNAS assessor was not present throughout the CB audit, the witness report outlines which audit activities were witnessed (including identification of the parts of the audit plan and which requirements of the MS were witnessed by SNAS).

1.4 SPECIFIC APPROACH FOR SAMPLING OF SCOPES

1.4.1 How to read the tables - explanations

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

1.4.1.2 Critical codes have been identified for each technical cluster. A critical code is a code that from a technical point of view requires the CB's audit team to have a higher level of competence, caution and diligence.

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

1.4.2 General rules applicable to various management systems - explanations

1.4.2.1 IAF MD 17 is baseline for determining of sampling.

1.4.2.2 Planning SNAS guarantee that competence is assessed within accreditation cycle through all scope of each scheme MS by one mechanism from art. 1.2.2.1. If this kind of assessment is not possible in the accreditation cycle, then SNAS will reduce the scope of accreditation.

1.4.2.3 In the initial accreditation cycle of each MS system scheme, SNAS 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 experiences and performance for a simplified programme. When this happens, SNAS shall perform at least one witnessing activity in each technical cluster of each SM scheme, to be complemented with other assessment activities to guarantee that each technical cluster is assessed in a period not exceeding ten years. SNAS shall justify why the witnessing programme was reduced. The witnessing frequency established for the 1st cycle should be reinstated if significant changes occur in the CB's auditor qualification process, auditing practices or results and audit personnel.

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

- if a technical cluster has only 1 critical code, SNAS shall perform a witnessing activity in this critical code to grant accreditation for all the codes in that cluster – e.g. for QMS, cluster „Food “ with 1 witnessing activity in code 3, SNAS can grant accreditation in the other EA codes (1 and 30) of that cluster; for EMS, cluster „Paper“ with one witnessing activity in code 9, SNAS can grant accreditation in the other codes (7 and 8) of that cluster;
- if a technical cluster has more than one critical code, SNAS 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 code 4 or 5, SNAS can grant accreditation in all the non-critical codes (6 and 23) of that cluster, but the other critical code (4 or 5) 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 one witnessing activity in code 20 or 22, SNAS can grant an accreditation in the other codes (17, 18, 19, 20 or 22) of that technical cluster;
 - c) in all critical codes that are identified with an “and”, i.e. the critical codes within the square brackets [...] or in the critical code identified with an “or” (on the “Critical code” column);
e.g. for OH&S, cluster “Chemicals”, with 1 witnessing activity in code 7 or 10 or 12 or 13 or 16, SNAS can grant accreditation in all non-critical codes, i.e. 14 and 15, plus 17 of that cluster, but the other critical codes need to be witnessed, i.e. 7 or 10 or 12 or 13 or 16, to be granted;
Instead, for the same cluster mentioned above, with 1 witnessing activity in code 17, SNAS can grant accreditation in the code 17 and in all other codes, i.e. 7, 10, 12, 13, 14, 15 and 16, of that technical cluster;
- if it is not possible to perform a witnessing activity in the code (codes) identified as critical, SNAS can agree with the CB on one of these two options:
 - a) SNAS can grant accreditation only in the non-critical code(s) of the technical cluster for one of which a witnessing activity is performed of which a witnessing activity is performed (e.g. for QMS – Food cluster – with one witnessing activity in code 30, SNAS can grant an accreditation for both codes 30 and 1);
 - b) SNAS can grant accreditation in all 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 the witnessing activity in the critical codes takes place before any certificate in the critical code based on accreditation is issued.

Note – In this case is granting:

- initial accreditation conditional on performing at least one witness assessment in each MS scheme;
- extension accreditation for new scheme conditional on performing at least one witness assessment in this MS scheme.

However, in such cases, if the result of the witnessing activity is negative, the SNAS 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 non-critical codes in line with art. 1.4.2.6.

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

1.4.2.6 For initial accreditation for each certification scheme, SNAS 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 SNAS 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.

1.4.2.7 The possibility to grant accreditation in all codes is always subject to the CB demonstrating it has the competence to manage certification in all of the underlying technical areas.

1.4.2.8 In addition to the above, it is necessary to assess competence also for all non-critical codes before SNAS can grant the accreditation. Therefore, the accreditation shall be granted only:

- in codes where the CB has already taken decisions for certification (e.g. for QMS, with 1 witnessing in EA code 3, SNAS can grant accreditation only for code 30 and 3 in cases where CB has taken no decision for certification in code 1); or
- in codes where the CB has demonstrated its competence by other means (e.g. demonstrating to have competent personnel for all the specific certification functions).

1.4.2.9 In cases of an integrated or combined management system audit, the scope of the witnessing activity shall be agreed with the client. If a witnessing activity has been recently performed in the same code/scheme, for a different purpose, SNAS can consider removing the necessity of another witnessing activity.

2 SPECIFIC REQUIREMENTS ON WITNESSING ACTIVITIES WITHIN SNAS

2.1 COMMON REGULATIONS

2.1.1 The below requirements on the number of witnessing assessments represent the minimum; however, after having considered all factors mentioned in the Clause 1.2.3.3 of this document, the OCO SNAS manager can, based in the professional guarantee's proposal, decide to increase the number of witnessing assessments.

2.1.2 During accreditation, a witnessing is performed for each technical cluster QMS, EMS, OH&SMS, QMS-W, or cluster of categories of FSMS, or main technical area of QMS-MD, or technical area EnMS, BCMS, or SFCS, ISMS, ABMS, ITSMS, according to the more detailed instructions set for any management system.

2.1.3 For the extension of accreditation, the witnessing assessment is performed in each technical cluster, or cluster of categories of FSMS, or main technical area QMS-MD, technical area EnMS, BCMS, or SFCS, ISMS, ABMS, ITSMS according to the more detailed instructions set for any management system.

2.1.4 During accreditation cycle, e. g. within surveillances and re-accreditation, the witnessing assessments shall be performed in accordance with the programme of witnessing assessments in the required number for each technical cluster, or cluster of categories of FSMS, or main technical area of QMS-MD, technical area EnMS, BCMS, or SFCS, ISMS, ABMS, ITSMS.

2.1.5 During accreditation cycle, e. g. within surveillances and re-accreditation, the CB's competence must be assessed for any management system and any code QMS, EMS, OH&SMS, QMS-W, BCMS, or FSMS sub-category, or QMS-MD technical area, or technical area EnMS, or SFCS, ISMS, ABMS, ITSMS, using one of the following methods:

- witnessing assessment;
- files' review;
- interviews with auditors or experts.

If such assessment in an accreditation cycle is not possible, then SNAS reduces the scope of accreditation.

2.1.6 At least one witnessing assessment must be performed within surveillance and re-accreditation for each management system.

2.1.7 The interviews with auditors are in preference carried out with those of them, whose competence was not yet assessed during the accreditation cycle. The interview with CB management, internal auditors and administrative staff are to be carried out during accreditation, any surveillance and re-accreditation.

2.1.8 The witnessing assessment is planned and carried-out for any management system separately, in accordance with the rules mentioned. In the case when CB plans to perform an integrated audit for several management systems, SNAS considers the possibilities of carrying-out the joint witnessing assessment in order to fulfil the programme of witnessing for all management systems. It is possible to perform a witnessing assessment jointly for one EA code, evtl. FSMS sub-category in the QMS, QMS-W, QMS-MD, EMS, OH&SMS, BCMS and FSMS systems. Also, it is possible to perform a witnessing assessment jointly for ISMS and ITSMS. The witnessing assessments for EnMS, SFCS and ABMS shall be performed separately.

2.1.9 The witnessing assessment can be performed for the relevant EA code only in the case

when it concerns, within CB's client's scope, the main activity – e.g. the witnessing assessment in code 29 can't be carried out in the company producing metallic parts (code 17) and selling them as well whereby this sale relates exclusively to the own products.

2.1.10 The witnessing assessment mentioned in the witnessing assessment programme shall be performed before the relevant surveillance, or re-accreditation. The non-performance of relevant witnessing assessments in the terms set results in the suspension of the validity of accreditation for the relevant management system. The suspension of the validity of accreditation certificate is effective from the first day of the month following the planned surveillance, or re-accreditation. For the term of the planned surveillance or re-accreditation is considered to be the term stated in the Surveillance Card made available in AIS. In the exceptional, special consideration worthy cases the OCO SNAS department manager can, upon professional guarantee's proposal, decide on the extension of the term the witnessing assessment should be carried out in.

2.1.11 In the case of a CB with very small number of technical clusters (areas), or FSMS categories, or main QMS-MD technical areas and with very small number of clients the OCO SNAS department manager can, upon the professional guarantee's proposal, decide on the exception from the clause 2.1.4 and 2.1.6 of this document (preventing of repeated witnessing assessment for the same client within the accreditation cycle).

2.1.12 In the case of file review, at least one file shall be assessed for each EA code, or FSMS sub-category, or QMS-MD and EnMS technical area, or sustainable maintenance of forests. In the case when the number of files "n" is higher than 9, the number of files is determining as $\sqrt{n}/3$. In the case of file review in the context of granting and extension of accreditation are file review designed to witness assessment in accordance with paragraphs 1.4.2.4, 2.1.2 and 2.1.3, if possible.

However, when the SNAS assessment group doesn't identify any repeated non-conformity in the review of three files from the relevant code, or FSMS sub-category, or QMS-MD and EnMS technical area, or SFCS, ISMS, ABMS, ITSMS it is possible, with the agreement of lead assessor, to finish the assessment of the given code, or FSMS sub-category, or QMS-MD and EnMS technical area, or SFCS, ISMS, ABMS. In the case, if the assessment team identified the same non-conformity that a systemic mold at the three files, it is possible with the agreement of lead assessor, to record the non-conformity and the review will be ending in the code, or subcategory FSMS, or technical area QMS-MD and EnMS, or SFCS, ISMS, ABMS, ITSMS.

2.1.13 Planning of witnessing is set in the "Witnessing assessment programme".

2.1.14 In the case of extension of the scope of accreditation by a non-critical code the:

- witnessing assessment is not performed when a witnessing assessment of the critical code the relevant group was performed in within the current "Witnessing assessment programme";
- witnessing assessment is performed in the critical code from the relevant group, if no witnessing assessment of the critical code the relevant group was performed in within the current "Witnessing assessment programme".

2.1.15 In the case of extension of the scope of accreditation by a critical EA code mentioned with the conjunction "or" the:

- witnessing assessment is not carried out when a witnessing assessment of the one another critical code of the relevant group was performed in within the current “Witnessing assessment programme”;
- the witnessing assessment is performed in one critical code from the relevant group, if no witnessing assessment of the critical code the relevant group was performed in within the current “Witnessing assessment programme”.

2.1.16 The witnessing assessment must be performed in the case of extension of the scope of accreditation by an separate critical code, or mentioned with conjunction “and”.

2.2 SPECIFIC APPROACH TO SAMPLING OF SCOPES

2.2.1 Quality management systems (ISO 9001)

Clusters and critical codes for QMS			
Technical cluster	EA code	Description of economic sector/activity, according to IAF ID1	Critical code(s)
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-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	7	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	

Clusters and critical codes for QMS			
Technical cluster	EA code	Description of economic sector/activity, according to IAF ID1	Critical code(s)
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 or 33
	32	Financial intermediation, real estate, renting	
	33	Information technologies	
	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

Note: EA 7 is within QMS divided into two technical clusters – into Paper and Chemicals.

2.2.2 Environmental management systems (ISO 14001)

Clusters and critical codes for EMS			
Technical cluster	EA code	Description of economic sector/activity according to IAF ID1	Critical code(s)
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 wooden products	

Clusters and critical codes for EMS			
Technical cluster	EA code	Description of economic sector/activity according to IAF ID1	Critical code(s)
	23	Manufacturing not elsewhere classified	
Chemicals	7	Limited to “Pulp and paper manufacturing”	7 and 10 and 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.	
	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	31	Transport, storage and communication	24 and 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 technologies	
	35	Other services	
	36	Public administration	
	37	Education	
Nuclear	11	Nuclear fuel	11
Health	38	Health and social work	38

Note 1: code 7 is within EMS divided into two technical clusters – into Paper and Chemicals.

Note 2: code 17 is within EMS divided into two technical clusters – into Mechanical and Chemicals.

Note 3: As critical part of code 39 in the technical cluster Transport & Waste management result to be only the NACE codes 37, 38.1, 38.2 a 39.

2.2.3 Occupational Health and Safety Management Systems (ISO 45001)

Clusters and critical codes for OH&SMS			
Technical cluster	EA code	Description of economic sector/activity according to IAF ID1	Critical code(s)
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 (with dyeing) and 5 (with tanning)] or 6
	5	Leather and leather products	
	6	Wood and wooden products	
	23	Manufacturing not elsewhere classified	
Chemicals	7	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.	
	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	

Clusters and critical codes for OH&SMS			
Technical cluster	EA code	Description of economic sector/activity according to IAF ID1	Critical code(s)
Transport & 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 technologies	
	35	Other services	
	36	Public administration	
	37	Education	
Nuclear	11	Nuclear fuel	11
Health	38	Health and social work	38

2.2.4 Quality management systems for welding (ISO 3834)

Clusters and critical codes for QMS-W		
EA code	Description of economic sector/activity according to IAF ID1	Critical code(s)
1	Agriculture, forestry and fishing	(17 or 18) and (20 or 22) and (14 or 23 or 26 or 28 or 29 or 34)
2	Mining and quarrying	
3	Food products, beverages and tobacco	
4	Textiles and textile products	
5	Leather and leather products	
6	Wood and wood products	
7	Pulp and paper manufacturing	
8	Publishing companies	
9	Printing companies	
10	Manufacture of coke and refined petroleum products	
11	Nuclear fuel	
12	Chemicals, chemical products and fibres	
13	Pharmaceuticals	
14	Rubber and plastic products	
15	Non-metallic mineral products	
16	Concrete, cement, lime, plaster, etc.	

Clusters and critical codes for QMS-W		
EA code	Description of economic sector/activity according to IAF ID1	Critical code(s)
17	Basic metals and fabricated metal products	
18	Machinery and equipment	
19	Electrical and optical equipment	
20	Shipbuilding	
21	Aerospace	
22	Other transport equipment	
23	Manufacturing not elsewhere classified	
24	Recycling	
25	Electricity supply	
26	Gas supply	
27	Water supply	
28	Construction	
29	Wholesale and retail trade, repair of motor vehicles, motorcycles, personal and household goods	
30	Hotels and restaurants	
31	Transport, storage and communication	
32	Financial intermediation, real estate, renting	
33	Information technologies	
34	Engineering services	
35	Other services	
36	Public administration	
37	Education	
38	Health and social work	
39	Other social services	

2.2.5 Energetic management systems (ISO 50001)

In the case management system EnMS, must be carried out witness assessment for each technical area within granting accreditation and each accreditation cycle or under the simplified programme in accordance with 1.4.2.1. If they are concurrently accredited technical fields "Industry – light to medium" and "industry – heavy" the witness assessment be carried out only in the technical field "industry - heavy". If they are concurrently accredited technical field "Buildings" and "Building complexes" the witness assessment be carried out only in the technical field "Building complexes". At least one witness assessment must be done before any surveillance.

Where possible, the witness assessment within the accreditation cycle not perform with the same client.

CB must have processed the procedure for classification of existing EA codes into technical areas and for each client must have documented reasons for their classification in the relevant technical area. For these purposes may be used MSA-CS / 01, Annex 7 (informative)

Example of positioning EA codes in the technical area for EnMS.

Technical area	Description
Industry – light to medium	Manufacturing facilities producing consumer intermediates or end user-oriented products
Industry – heavy	Manufacturing facilities requiring high capitalization and consuming large quantities of raw materials and energy
Buildings	Facilities with standard commercial building practices
Building complexes	Facilities with operations requiring specific expertise due to the complexity of energy sources and uses
Transport	System or means for transporting people or goods/cargo
Mining	Open cast, underground and fluid extraction of raw materials and transport
Agriculture	Livestock, seed or crops products
Energy Supply	Energy generation (nuclear, CHP, electricity, renewable, etc.) and transport (transmission and distribution)

2.2.6 Information safety management systems (ISO/IEC 27001)

The ISMS Management System involves only one item "Information Security Management System". A witness assessment will be defined by SNAS in agreement with the CAB.

2.2.7 Sustainable forest management systems (TD SFCS 1002)

The SFCS management system involves only one item „Sustainable forest management systems“.

2.2.8 Food safety management systems (ISO 22000)

In the FSMS management system case, the witnessing shall be carried out of any cluster within the accreditation and every accreditation cycle. The witnessing assessment of the second cluster „Processing of food products and feedstuff“, shall be performed in every calendar year. In the case of an extension by other clusters, the witnessing is performed in every new cluster. In the case of an extension by categories within the accredited cluster it is not necessary to perform witnessing. When possible, the witnessing assessments within the accreditation cycle are carried out still in another sub-category.

Cluster	Category		Sub-category	
1. Farming	A	Breeding of animals	AI	Breeding of animals for meat/milk/eggs/honey
			AII	Breeding of fish and sea food
	B	Vegetable production	BI	Vegetable production (other than cereals and pulses)
			BII	Growing of cereals and pulses

Cluster	Category		Sub-category	
2. Processing of foodstuff and feeds	C	Foodstuff processing	CI	Processing of unstable animal products
			CII	Processing of unstable vegetable products
			CIII	Processing of unstable animal and vegetable products (mixed products)
			CIV	Processing of products stable under normal conditions
	D	Production of feeds	DI	Production of feeds
			DII	Production of feeds for social animals
3. Alimentation	E	Alimentation		
4. Sale, transport and storage	F	Distribution	FI	Retail trade/wholesale
			FII	Food brokerage / trading
	G	Securing of transport and storage	GI	Securing of transport and storage of unstable food products and feeds
			GII	Securing of transport and storage of food products and feeds, stable under normal conditions
5. Supplementary services	H	Services		
	I	Production of food packaging and packaging materials		
	J	Production of equipments		
6. Bio-chemicals	K	Production of (bio) chemicals		

2.2.9 Quality management systems for medical devices (ISO 13485)

In the QMS-MD management system case, the witnessing assessment shall be carried out of each main technical cluster within accreditation and of each accreditation cycle. At least one witnessing must be performed prior to any surveillance.

If possible, the witnessing assessments within the accreditation cycle are not performed at the same client. The technical clusters are selected for witnessing within main technical clusters that present the highest risk.

Note: Detailed tables comprehensive of “Product Categories Covered by the Technical Areas” are in normative Annex A, MSA-CS/13, created according to the IAF MD 9.

№	Code	Main Technical Areas	Technical Areas
1	MD 1.1	1. Non-active Medical Devices	General non-active, non-implantable medical devices
2	MD 1.2		Non-active implants
3	MD 1.3		Devices for wound care
4	MD 1.4		Non-active dental devices and accessories
5	MD 1.5		Non-active medical devices other than specified above
6	MD 2.1	2. Active Medical Devices (Non- Implantable)	General active medical devices
7	MD 2.2		Devices for imaging
8	MD 2.3		Monitoring devices
9	MD 2.4		Devices for radiation therapy and thermo therapy
10	MD 2.5		Active (non-implantable) medical devices other than specified above
11	MD 3.1	3. Active Implantable Medical Devices	General active implantable medical devices
12	MD 3.2		Implantable medical devices other than specified above
13	MD 4.1	4. In Vitro Diagnostic Medical Devices (IVD)	Reagents and reagent products, calibrators and control materials for: Clinical Chemistry Immunochemistry (Immunology) Haematology/Haemostasis/ Immunoematology Microbiology Infectious Immunology Histology/Cytology Genetic Testing
14	MD 4.2		In Vitro Diagnostic Instruments and software
15	MD 4.3		IVD medical devices other than specified above
16	MD 5.1	5. Sterilization Method for Medical Devices	Ethylene oxide gas sterilization (EOG)
17	MD 5.2		Moist heat
18	MD 5.3		Aseptic processing
19	MD 5.4		Radiation sterilization (e.g. gamma, x-ray, electron beam)
20	MD 5.5		Low temperature steam and formaldehyde sterilization
21	MD 5.6		Thermic sterilization with dry heat
22	MD 5.7		Sterilization with hydrogen peroxide.
23	MD 5.8		Sterilization method other than specified above
24	MD 6.1	6. Devices incorporating / utilizing specific substances / technologies	Medical devices incorporating medicinal substances
25	MD 6.2		Medical devices utilizing tissues of animal origin
26	MD 6.3		Medical devices incorporating derivates of human blood
27	MD 6.4		Medical devices utilizing micromechanics
28	MD 6.5		Medical devices utilizing nanomaterials

29	MD 6.6		Medical devices utilizing biological active coatings and/or materials or being wholly or mainly absorbed
30	MD 6.7		Medical devices incorporating or utilizing specific substances / technologies / elements other than specified above
31	MD 7.1	7. Parts or services	Raw materials
32	MD 7.2		Components
33	MD 7.3		Subassemblies
34	MD 7.4		Calibration services
35	MD 7.5		Distribution services
36	MD 7.6		Maintenance services
37	MD 7.7		Transportation services
38	MD 7.8		Other services

2.2.10 End-of-waste management system according to ISO 9001, Council Regulation (EU) No. 333/2011, Commission Regulation (EU) No. 1179/2012 and Commission Regulation (EU) No. 715/2013 (QMS-EoW)

In the QMS-EoW Management system case, the witnessing assessment shall be carried out for one EA code for each corresponding regulation within granting accreditation and one EA code in accreditation cycle. If possible, EA codes must be within the accreditation cycle rotate. Assessment (on-site and witnessing) of end-of-waste management system is carrying out only within re-accreditation of quality management system.

No	Code		Name of activity
	EA	NACE	
1	15	23.1	Manufacture of glass and glass products
2	17	24 excl. of 24.46	Manufacture of basic metals
3	24	38.3	Materials recovery
4	39	38.1	Waste collection
		38.2	Waste treatment and disposal

Notes:

EA 17, 24 and 39 belong to Council Regulation (EU) No. 333/2011 and Commission Regulation (EU) No. 715/2013.

EA 15, 24 and 39 belong to Commission Regulation (EU) No. 1179/2012.

2.2.11 Anti-bribery management systems (ISO 37001)

The ABMS Management System involves only one item "Anti-bribery Management System". A witness assessment will be defined by SNAS in agreement with the CAB.

2.2.12 Business continuity management systems (ISO 22301)

In the BCMS management system case the witness assessment shall be carried out within granting accreditation and each accreditation cycle for the technical areas (A, B, C, D, E, F and G). For technical areas B, D and G a witness assessment must be carried out for each technical area separately. For areas A, C, E and F there is required one witness assessment for any of the technical areas A to G. If it is possible, for witnessing in the same technical area the activities are selected accordingly that present the highest risk.

At least one witness assessment must be performed before each surveillance.

Where possible, witness assessments within the accreditation cycle shall not be performed at the same client of CAB.

Technical area	Mark	EA code	Description of economic sector/activity, according to IAF ID1
Industry and Distribution	A	1	Agriculture, forestry and fishing
		2	Mining and quarrying
		3	Food products, beverages and tobacco
		4	Textiles and textile products
		5	Leather and leather products
		6	Wood and wood products
		7	Pulp and paper manufacturing
		8	Publishing companies
		9	Printing companies
		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.
		17	Basic metals and fabricated metal products
		18	Machinery and equipment
		19	Electrical and optical equipment
		20	Shipbuilding
		21	Aerospace
		22	Other transport equipment
		23	Manufacturing not elsewhere classified
		24	Recycling
		28	Construction
Critical infrastructure	B	11	Nuclear fuel
		25	Electricity supply
		26	Gas supply
		27	Water supply

Technical area	Mark	EA code	Description of economic sector/activity, according to IAF ID1
Public administration	C	36	Public administration and defense; compulsory social security (if not included elsewhere)
Healthcare	D	38	Healthcare and social work
Services	E	29	Wholesale and retail trade; Repair of motor vehicles, motorcycles and personal and household goods
		30	Hotels and restaurants
		34	Engineering services
		35	Other services
		37	Education
		39	Other social services
Finance, insurance	F	31	Doprava, skladovanie a komunikácia
		32	Finančné sprostredkovanie, nehnuteľnosti, prenájom
IT services	G	33	Information technology

2.2.13 Information Technology Service Management Systems (ISO/IEC 20000-1)

The ITSMS Management System involves only one item " Information Technolgy Service Management System". A witness assessment will be defined by SNAS in agreement with the CAB.

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