



CORSO AGGIORNAMENTO ACCREDIA

Modifiche da IAF MD22:2018 a IAF MD 5:2019, IAF MD17:2019 e IAF MD22:2019

**Corso di aggiornamento ACCREDIA
Milano, 6 – 7 Novembre 2019**

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ARGOMENTI TRATTATI

1. **Aggiornamento IAF MD22:2018 in IAF MD22:2019**
2. **Nuovo IAF MD5:2019**
3. **Nuovo IAF MD17:2019**
4. **Relazioni con ISO/IEC TS 17021-10:2018**
5. **Relazioni con nuovo IAF MD1:2018**
6. **Esempi**

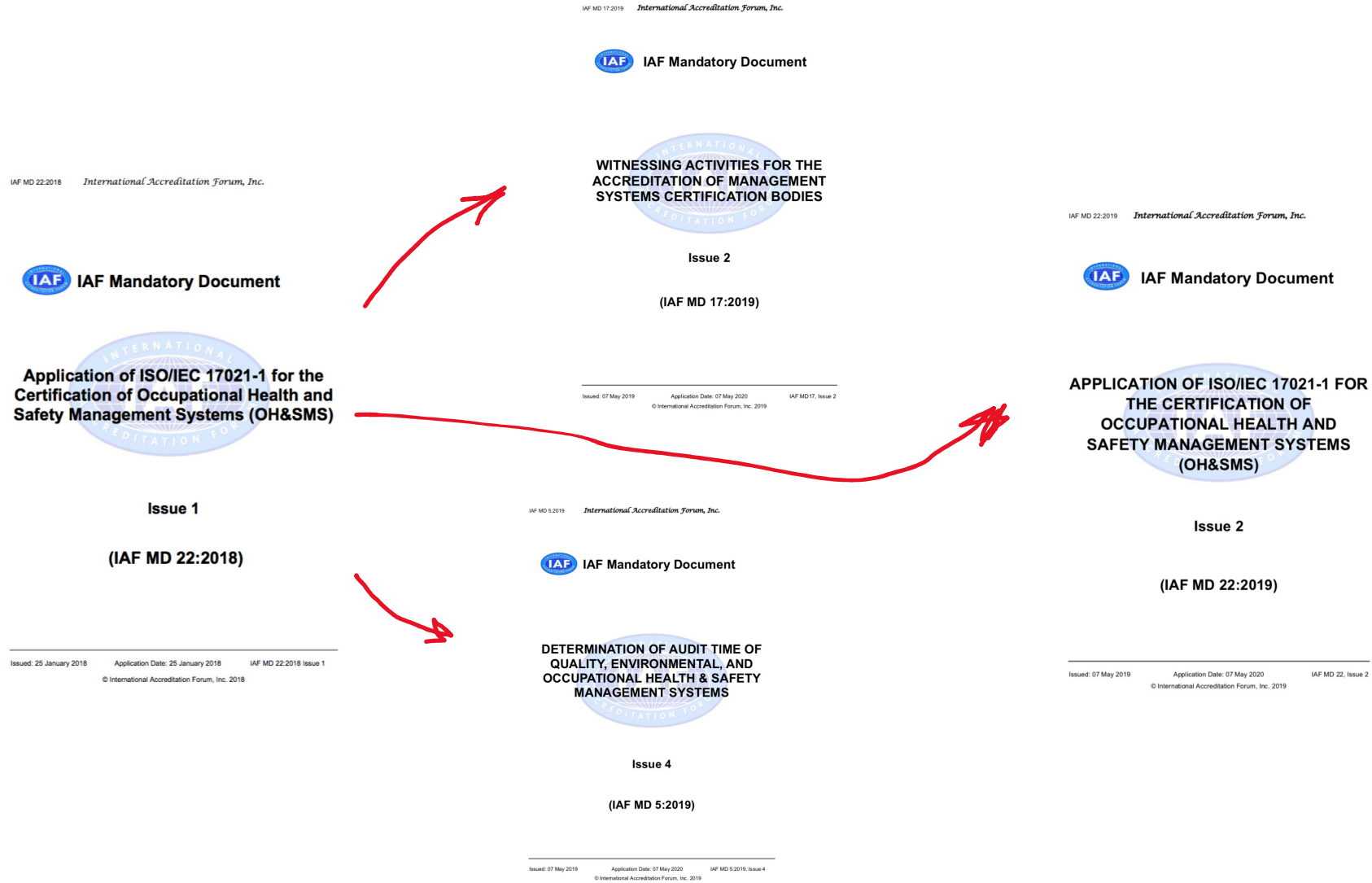
REQUISITI MODIFICATI

REQUISITI NON MODIFICATI

MANDATO ALLA TASK FORCE PER REVISIONE DI MD22

1. Traferire in IAF MD17 la tabella dei clusters OH&SMS di IAF MD22
2. Aggiornare IAF MD17 con obbligo di completamento dei WAs in cinque anni indipendentemente dalla durata del ciclo di accreditamento scelto dal CAB
3. Integrare IAF MD5 con calcolo ggu per OH&SMS
4. Aggiornare IAF MD5 e IAF MD17 ai requisiti della nuova ISO/IEC 17021-1:2015
5. Aggiornare IAF MD17 ai requisiti della nuova ISO/IEC 17011:2017
6. Aggiornare IAF MD22

REVISIONE DOCUMENTI IAF MD 22, MD5, MD17



MIGRAZIONE APPENDICI DA MD22:2018 A NUOVI MD

IAF MD22:2018	IAF MD5:2019	IAF MD17:2019	IAF MD22:2019	ISO/IEC TS 17021-10:2018
Appendix A - Competence requirements for certification functions in OH&SMS	-	-	-	Competence requirements for bodies providing audit and certification of OH&SMS
Appendix B - Determination of audit time of OH&SMS	Annex C - OH&SMS	-	-	-
Appendix C - Legal compliance as a part of accredited OH&SMS certification	-	-	Appendix A	-
Appendix D – Scope of accreditation	-	-	Appendix B	-
Appendix E - Witnessing activities for the accreditation of OH&SMS certification bodies	-	Section 7 – OH&SMS (ISO 45001)	-	-
Sections 0=10	-	-	Sections 0=10	

ENTRATA IN VIGORE DEI NUOVI IAF MD

Documento	Argomento	Entrata in vigore
IAF MD 1:2018	Audit and Certification of a Management Systems Operated by a Multi-Site Organization	29 January 2018
IAF MD 4:2018	Use of Information and Communication Technology (ICT) for Auditing/Assessment Purposes	04 July 2019
IAF MD 5:2019	Determination of Audit Time of QMS, EMS and OH&SMS	07 May 2020
IAF MD 17:2019	Witnessing Activities for the Accreditation of Management Systems Certification Bodies	07 May 2020
IAF MD 22:2019	Application of ISO/IEC 17021-1 for the Certification of OH&SMS	07 May 2020

MODIFICHE DA IAF MD22:2018 A IAF MD22:2019

IAF MD 22:2018 *International Accreditation Forum, Inc.*

IAF MD 22:2019 *International Accreditation Forum, Inc.*

 IAF Mandatory Document

 IAF Mandatory Document


**Application of ISO/IEC 17021-1 for the
Certification of Occupational Health and
Safety Management Systems (OH&SMS)**


**APPLICATION OF ISO/IEC 17021-1 FOR
THE CERTIFICATION OF
OCCUPATIONAL HEALTH AND
SAFETY MANAGEMENT SYSTEMS
(OH&SMS)**

Issue 1

Issue 2

(IAF MD 22:2018)

(IAF MD 22:2019)

Issued: 25 January 2018 Application Date: 25 January 2018 IAF MD 22:2018 Issue 1
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Issued: 07 May 2019 Application Date: 07 May 2020 IAF MD 22, Issue 2
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MODIFICHE DA IAF MD22:2018 A IAF MD22:2019

IAF MD22:2019

- revisione consistente con i nuovi IAF MD5:2019 e IAF MD17:2019
- I tre documenti sono stati pubblicati contemporaneamente.

Clause/App.	Grade	Clause
0	Minor	0. INTRODUCTION (Table of Appendixes)
G.3.3	Minor	1. TERMS AND DEFINITION (consultancy) (IAF-TC 2018 Singapore)
G.4.1.1	Minor	4. PRINCIPLES (interested parties)
Appendix A	Major	Rimossa e totalmente sostituita da ISO/IEC TS 17021-10:2018
Appendix B	Major	Rimossa e trasferita in IAF MD5:2019
Appendix C	Minor	Mantenuta e rinominata come Appendix A
Appendix D	Minor	Mantenuta e rinominata come Appendix B
Appendix E	Major	Rimossa e trasferita in IAF MD17:2019
varie	Minor	alcuni modifiche editoriali

MODIFICHE DI IAF MD22 - DEFINIZIONI

IAF MD 22:2018

~~G 3.3 Some specific services offered or provided in the field of OH&S to clients certified or being certified for OH&SMS by the Certification Body are considered as OH&SMS consultancy.~~

These include, but are not limited to:

- i. performing the role of Occupational Health and Safety coordinator,
- ii. safety reporting,
- iii. performing risk assessments,
- iv. ~~performing Occupational Health and Safety inspections and internal audits,~~
- v. communication with regulatory authorities on behalf of the client,
- vi. ~~assistance in developing an organisation's Occupational Health and Safety Management System, and~~
- vii. accident and incident investigation.

IAF MD 22:2019

G 3.3 In addition to ISO/IEC 17021-1, additional services provided in the field of Occupational Health and Safety are also considered as management systems consultancy.

These include, but are not limited to:

- i. performing the role of Occupational Health and Safety coordinator,
- ii. safety reporting,
- iii. performing risk assessments,
- iv. communication with regulatory authorities on behalf of the client, and
- v. accident and incident investigation.

Change requested by IAF TC-12.14-18-2 to prevent that G.3.3 could be interpreted that it is forbidden for a CB to deliver internal audit or other services that do not fall within the 17021-1 3.3 definition, even to a company which is not certified or in the process to be certified by a CB.

ISO/IEC 17021-1:2015, clause 3.3 Management system consultancy

Participation in establishing, implementing or maintaining a management system

- EXAMPLE 1 Preparing or producing manuals or procedures.
- EXAMPLE 2 Giving specific advice, instructions or solutions towards the development and implementation of a management system.

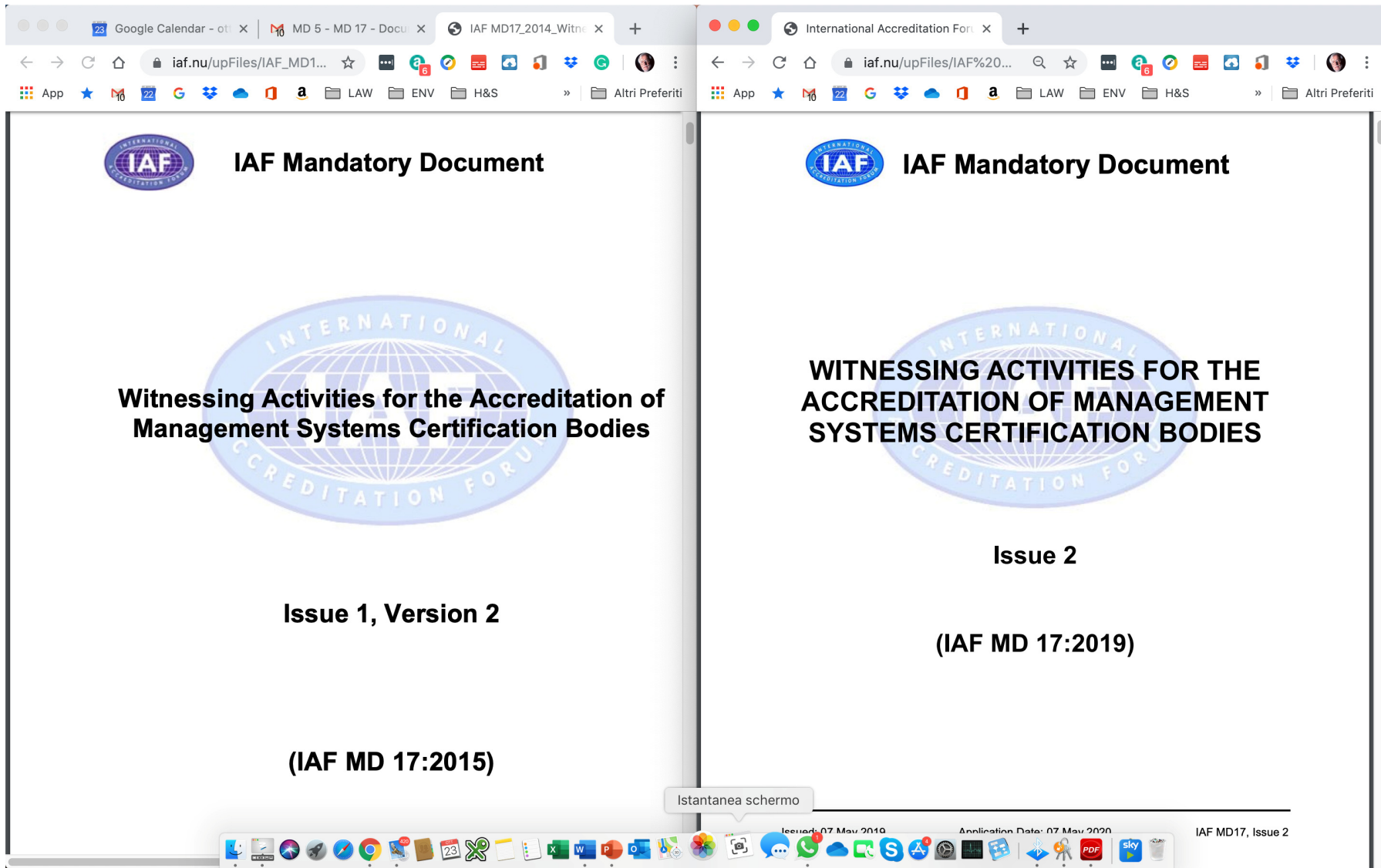
Note 1 to entry: Arranging training and participating as a trainer is not considered consultancy, provided that, where the course relates to management systems or auditing, it is confined to the provision of generic information; i.e. the trainer should not provide client-specific solutions.

Note 2 to entry: The provision of generic information, but not client specific solutions for the improvement of processes or systems, is not considered to be consultancy. Such information may include:

- explaining the meaning and intention of certification criteria;
- identifying improvement opportunities;
- explaining associated theories, methodologies, techniques or tools;
- sharing non-confidential information on related best practices;
- other management aspects that are not covered by the management system being audited.

Clause 5.2.5 The certification body and any part of the same legal entity and any entity under the organizational control of the certification body [see 9.5.1.2, bullet b)] shall not offer or provide management system consultancy. This also applies to that part of government identified as the certification body.

MODIFICHE DA IAF MD17:2015 A IAF MD17:2019



The image shows a side-by-side comparison of two IAF Mandatory Document covers. The left cover is for IAF MD 17:2015, and the right cover is for IAF MD 17:2019. Both covers feature the IAF logo at the top left and the title 'Witnessing Activities for the Accreditation of Management Systems Certification Bodies' in the center, overlaid on a large, faint IAF logo. The left cover is labeled 'Issue 1, Version 2 (IAF MD 17:2015)' and the right cover is labeled 'Issue 2 (IAF MD 17:2019)'. The browser tabs and address bars at the top show the documents are being viewed from the IAF website. The macOS dock at the bottom includes various application icons and a system clock showing 07 May 2019.

IAF Mandatory Document

Witnessing Activities for the Accreditation of Management Systems Certification Bodies

Issue 1, Version 2

(IAF MD 17:2015)

IAF Mandatory Document

Witnessing Activities for the Accreditation of Management Systems Certification Bodies

Issue 2

(IAF MD 17:2019)

Istantanea schermo

07 May 2019 Application Date: 07 May 2020 IAF MD17, Issue 2

IAF MD17:2019 applies to the accreditation of MS (Management Systems) CBs (Certification Bodies) and shall be used for all MS under the IAF MLA, except for those provisions that conflict with what is established in applicable standards (e.g. ISO/TS 22003, IAF MD 8, ISO 27006), other IAF documents, specifications set by SOs (Scheme Owners) or regulators, and legislation.

All the IAF codes (see IAF ID1) have been merged into a series of technical clusters for QMS, EMS and OH&SMS deemed relevant for the purpose of this document.

Sections 5, 6 and 7 are specific to the accreditation of QMS CBs, EMS CBs and OH&SMS CBs respectively.

MODIFICHE DA IAF MD17:2015 A IAF MD17:2019

IAF MD17:2019

- Modifiche introdotte per includere i requisiti di IAF MD22:2018: clausola 4.2.3 e Appendix E

CL	Grade	Clause
0.1	Minor	0 INTRODUCTION (update to ISO/IEC 17011:2017 & ISO/IEC 17021-1:2015)
1.1	Minor	1 DEFINITIONS (update to ISO/IEC 17011:2017)
2.1	Minor	2. GENERAL POLICIES (update to ISO/IEC 17011:2017 & ISO/IEC 17021-1:2015)
2.2.1.	Minor	2. GENERAL POLICIES (update to ISO/IEC 17011:2017)
2.4.2	Minor	2. GENERAL POLICIES (witnessing of CBs)
2.4.2	Minor	4. SPECIFIC APPROACH FOR SAMPLING OF SCOPES
2.4.3	Minor	4. SPECIFIC APPROACH FOR SAMPLING OF SCOPES
4.2.3	Major	4.2 General rules applicable to schemes (period and accreditation. cycle)
4.2.4.	Major	4.2 General rules applicable to schemes (clusters and critical codes)
7	Major	7. OCCUPATIONAL HEALTH & SAFETY MANAGEMENT SYSTEMS (ISO 45001)

MODIFICHE DI IAF MD17 - INTRODUZIONE

IAF MD 17:2015

0.1 According to ~~ISO/IEC 17011:2004, §7.5.6 and §7.7.3~~, Accreditation Bodies (ABs) are also required to establish a sampling procedure to witness a representative number of examples of conformity assessment services and staff to ensure proper evaluation and provide assurance of the competence of the conformity assessment bodies across the scope of accreditation.

IAF MD 17:2019

0.1. According to ~~ISO/IEC 17011:2004, §7.5.6 and §7.7.3~~, Accreditation Bodies (ABs) are also required to establish documented procedures to assess the competence of conformity assessment body to perform all activities in its scope of accreditation irrespective of where these activities are performed, through the use of a combination of on-site assessments and other assessment techniques sufficient to provide confidence in the conformity with the relevant accreditation criteria. The assessment shall cover a sample of locations and personnel to determine the competence of the conformity assessment body to perform the activities covered by its scope of accreditation. ~~For further details please refer to clause 7.9.2 and clause 7.9.3 of ISO/IEC 17011:2004.~~

MODIFICHE IAF MD17 – POLICY PER RIFIUTO DI WA

IAF MD 17:2015	IAF MD 17:2019
<p>2.4.2 ABs shall have a policy to deal with refusals by a CB (including those originating from the CB client) for a given witnessing, including the imposition of sanctions on the CB when the refusal is not duly justified and accepted by the AB (e.g.: security clearance) and/or compromises the coverage of the applicant or accredited scope. If the CB client refuses the AB witnessing, in order to avoid sanctions, the CB shall withdraw the existing accredited certificate, or, if not yet certified, the CB will not be allowed to place the accreditation logo on the future certificate, unless the refusal is duly justified and accepted by the AB.</p>	<p>2.4.2. ABs shall have a policy to deal with refusals by a CB (including those originating from the CB client) for a given witnessing, including the imposition of sanctions on the CB when the refusal is not duly justified and accepted by the AB (e.g.: security clearance) and/or compromises the coverage of the applicant or accredited scope. If the CB client refuses the AB witnessing, in order to avoid sanctions, the CB shall withdraw the existing accredited certificate.</p>

MODIFICHE IAF MD17 – PERIOD & ACCRED.CYCLE

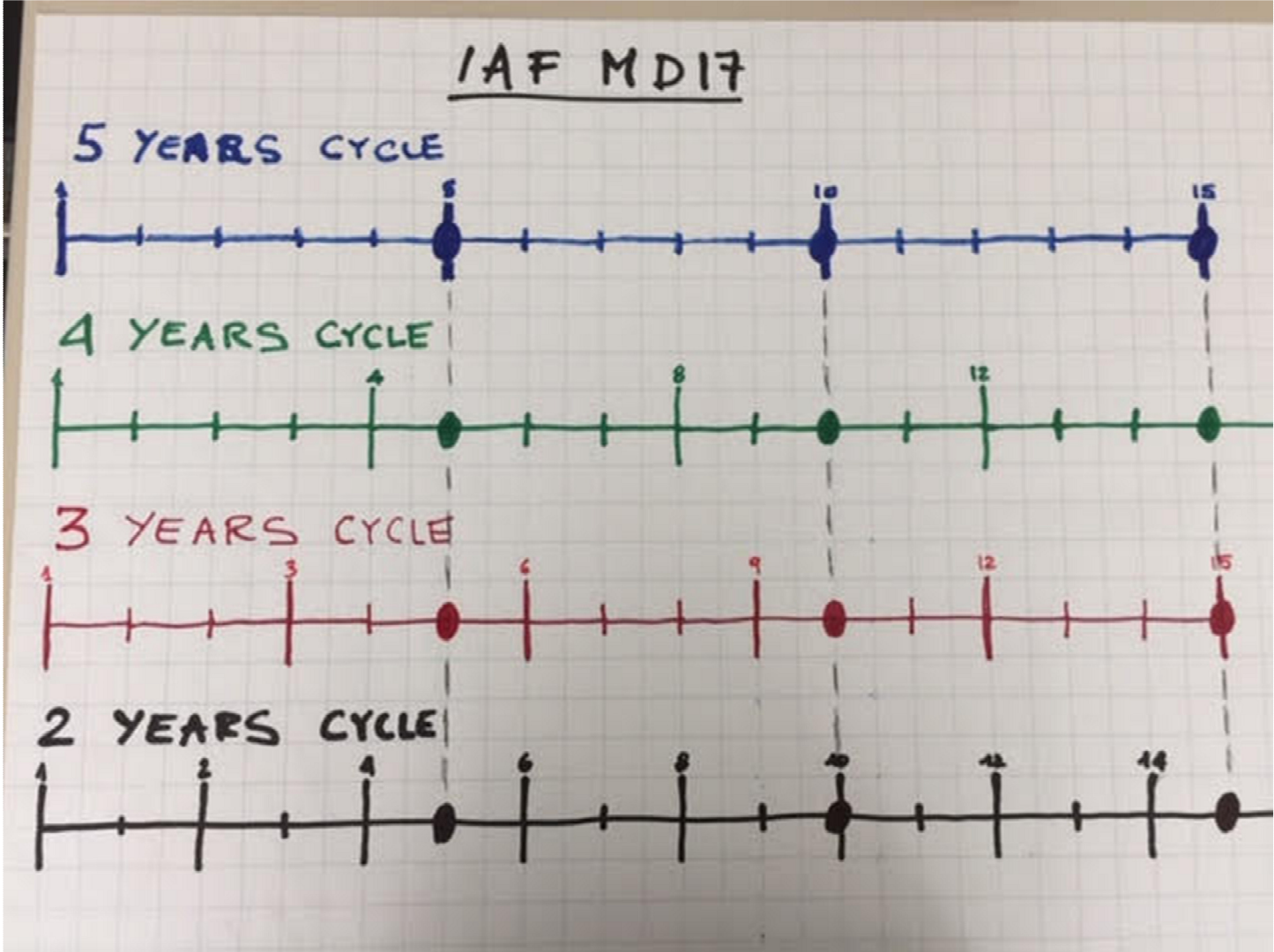
IAF MD 17:2015

4.2.3 In the ~~initial accreditation cycle~~ of each MS scheme (~~meaning from 1st surveillance to the 1st reassessment~~), the AB 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 AB 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~~. The AB shall be able to justify why the witnessing programme was reduced. 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.

IAF MD 17:2019

4.2.3. In the ~~first period of five years of accreditation of each MS scheme, after initial accreditation has been granted~~, the AB 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 AB 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 ~~in a period not exceeding ten years~~. The AB shall be able to justify why the witnessing programme was reduced. The witnessing frequency established in ~~the first period~~ should be reinstated if significant changes occur in the CBs' auditor qualification process, auditing practices or results and audit personnel.

MODIFICHE IAF MD17 – PERIOD & ACCRED.CYCLE



MODIFICHE IAF MD17 – WITNESSING RULES (AND/OR)

4.2.4. 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:

4.2.4 i) if a technical cluster has **only 1 critical code**, the AB shall perform a WA:

IAF MD 17:2019 WITNESSING RULES	IAF MD 17:2019 WITNESSING EXAMPLES
in this critical code to grant accreditation for all the IAF codes in that cluster	<p>for QMS, cluster Food, with 1 witnessing activity in IAF code 03, the AB can grant accreditation in:</p> <ul style="list-style-type: none"> the other IAF codes (01 and 30) of that cluster; <p>for EMS, cluster Paper, with 1 witnessing activity in IAF code 09, the AB can grant accreditation in:</p> <ul style="list-style-type: none"> the other IAF codes (7 and 8) of that cluster;

MODIFICHE IAF MD17 – WITNESSING RULES (AND/OR)

4.2.4 ii) if a technical cluster **has more than 1 critical code**, the AB shall perform at least a witnessing activity:

MD 17:2019 WITNESSING RULES	IAF MD 17:2019 WITNESSING EXAMPLES
a) in all the critical codes that are identified with an “and” (on the “Critical code” column);	for EMS, cluster Goods Production, with 1 WA activity in code 04 or 05 , the AB can grant accreditation: <ul style="list-style-type: none"> • in all the non-critical 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);	for QMS, in cluster Mechanical, with 1 WA in code 20 or 22 , the AB can grant accreditation in: <ul style="list-style-type: none"> • the other IAF codes (17, 18, 19, 20, or 22) of that 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);	for OH&S, cluster “Chemicals”, with 1 WA in code 7 or 10 or 12 or 13 or 16 , the AB can grant accreditation in: <ul style="list-style-type: none"> • all non-critical codes (14 and 15, plus 17) of that cluster, but • the other critical codes (7 or 10 or 12 or 13 or 16) need to be witnessed to be granted. <p>for OH&S, cluster “Chemicals”, with 1 WA in code 17, the AB can grant accreditation in:</p> <ul style="list-style-type: none"> • code 17 and in all other codes (7, 10, 12, 13, 14, 15 and 16), of that technical cluster;

OH&SMS CLUSTER: CHEMICALS

Critical codes	IAF codes	WA performed	Code granted
[7 and 10 and 12 and 13 and 16] or 17	7	Yes	Yes
	10		No
	12		No
	13		No
	14		Yes
	15		Yes
	16		No
	17		Yes

Critical codes	IAF codes	WA performed	Code granted
[7 and 10 and 12 and 13 and 16] or 17	7		No
	10		No
	12		No
	13	Yes	Yes
	14		Yes
	15		Yes
	16		No
	17		Yes

Critical codes	IAF codes	WA performed	Code granted
[7 and 10 and 12 and 13 and 16] or 17	7		No
	10	Yes	Yes
	12		No
	13		No
	14		Yes
	15		Yes
	16		No
	17		Yes

Critical codes	IAF codes	WA performed	Code granted
[7 and 10 and 12 and 13 and 16] or 17	7		No
	10		No
	12		No
	13		No
	14		Yes
	15		Yes
	16	Yes	Yes
	17		Yes

Critical codes	IAF codes	WA performed	Code granted
[7 and 10 and 12 and 13 and 16] or 17	7		No
	10		No
	12	Yes	Yes
	13		No
	14		Yes
	15		Yes
	16		No
	17		Yes

Critical codes	IAF codes	WA performed	Code granted
[7 and 10 and 12 and 13 and 16] or 17	7		Yes
	10		Yes
	12		Yes
	13		Yes
	14		Yes
	15		Yes
	16		Yes
	17	Yes	Yes

OH&SMS CLUSTER: TRANSPORT & WASTE

Critical codes	IAF codes	WA performed	Code granted
[31 (limited to dangerous goods) and 24] or 39 (limited to NACE 37, 38.1, 38.2, 39)	31 (limited to dangerous goods)	Yes	Yes
	24		No
	39 (limited to NACE 37, 38.1, 38.2, 39)		Yes
[31 (limited to dangerous goods) and 24] or 39 (limited to NACE 37, 38.1, 38.2, 39)	31 (limited to dangerous goods)		No
	24	Yes	Yes
	39 (limited to NACE 37, 38.1, 38.2, 39)		Yes
[31 (limited to dangerous goods) and 24] or 39 (limited to NACE 37, 38.1, 38.2, 39)	31 (limited to dangerous goods)		Yes
	24		Yes
	39 (limited to NACE 37, 38.1, 38.2, 39)		Yes

OH&SMS CLUSTER: GOODS PRODUCTION

Critical codes	IAF codes	WA performed	Code granted
[4 (with dyeing) and 5 (with tanning)] or 6	4	Yes	Yes
	5		No
	6		Yes
	23		Yes
Critical codes	IAF codes	WA performed	Code granted
[4 (with dyeing) and 5 (with tanning)] or 6	4		No
	5	Yes	Yes
	6		Yes
	23		Yes
Critical codes	IAF codes	WA performed	Code granted
[4 (with dyeing) and 5 (with tanning)] or 6	4		Yes
	5		Yes
	6	Yes	Yes
	23		Yes

QUANDO IL WA NEL CRITICAL CODE NON È POSSIBILE

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

IAF MD 17:2019 WITNESSING RULES	IAF MD 17:2019 WITNESSING EXAMPLES
<p>a) the AB can grant accreditation only in the non-critical IAF code/s of the technical cluster for one of which a witnessing activity is performed</p>	<p>for QMS - Food cluster - with 1 witnessing activity in IAF code 30, the AB can grant accreditation for:</p> <ul style="list-style-type: none"> • both IAF code 30 and 01, or
<p>b) the AB can grant accreditation in all the codes of the cluster, performing an office activity in the critical code/s, but on condition: However, in both cases b), if the result of the witnessing activity is negative, the AB shall consider reducing the scope of accreditation.</p>	<ul style="list-style-type: none"> • that the CB has demonstrated its competence on a documental basis in all the codes of the cluster; and • that the WA in the critical code/s takes place before any certificate in the critical code/s based on accreditation is issued.

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 § 4.2.8.

Principi dello IAF MD17:2019

Le slides seguenti introducono le clausole che non hanno subito modifiche

1.1 - Witnessing

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

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: ABs may witness other activities conducted by CBs as part of their accreditation process, outside of the scope of this document.

1.2 - File Review

Activity performed by an AB 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 (e.g.: CB client premises) as appropriate and agreed.

1.3 - 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.

2.1.1 The objective of witnessing, in conformity with § 7.5.6 and § 7.7.3 of ISO/IEC 17011, 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.

2.1.3 This document will enable an AB 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.

2.1.2 The witnessing of CB's audits on their clients by ABs is valuable for:

- i) **verifying, on site, the effective implementation of the CB's certification programmes 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,
- ii) **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 17021-1;
 - relevant IAF documents; and
 - any relevant sector specific requirements, as applicable.
- iii) obtaining a **representative sample of the competence** of the CB across the accreditation scope

2.2.1. ABs shall have a policy **to cover the scope** (see 1.3) for each applicant and accredited CB through the use of the various mechanisms that are available, including:

- i) **office assessment activities;**
- ii) **witnessing activities;** and
- iii) **other assessment activities, as defined by the AB according to the needs identified.**

The policy shall ensure that the **ABs assess the performance of a sample of the conformity assessment activities representative of the scope of accreditation.**

2.3.1. ABs **shall have an assessment programme covering the scope** of each applicant or accredited CB **for each accreditation cycle.**

The programme must be periodically reviewed and updated, as needed.

2.3.2. 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 AB shall have a process for cooperation with the local AB, according to MLA rules and regulations.

- 2.3.3.** When deciding **how many and which audits are to be witnessed**, the AB shall take into account factors such as:
- i. the CB's overall performance;
 - ii. 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;
 - iii. feedback from interested parties including complaints about certified organizations;
 - iv. the results of the CB's internal audits;
 - v. scheme owner requirements, etc.;
 - vi. changes in CB work patterns – growth of work within a specific region or technical area;
 - vii. number of clients within the CB's scope of accreditation;
 - viii. confidence in the CB's auditor evaluation and approval process; and
 - ix. previous or other office or witnessing assessment results, etc.

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

- i. number of certificates issued;
- ii. number of auditors;
- iii. different auditors;
- iv. whether auditors are internal staff or external resource;
- v. different audits, initial audit (stage 1/stage 2), surveillance and recertification;
- vi. complex clients, combined and/or integrated audits, multi-site audits;
- vii. countries where audits in the certification process are performed;
- viii. result of previous witnessing activities;
- ix. complaints, customer surveys;
- x. interested parties and regulators requests;
- xi. the technical clusters already assessed;
- xii. experience from other types of accreditation of the CB;
- xiii. previous history of the CB's ability to manage its operations;
- xiv. level of controls exercised by a CB over its critical activities;
- xv. specific scheme requirements; and
- xvi. national agreements with clients.

2.4.7. During witnessing, the AB 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 AB's assessors upon request.

2.4.9. The direct questioning of the CB's client by the AB is not allowed, as this can affect the outcome of the audit.

AB assessors shall **not provide any opinions to the CB**, while the audit is being conducted.

The AB assessors shall not provide any opinions to the CB's client at any time. AB assessors should ensure that their **presence and witnessing activity is not perceived as interference** by the CB's client, and is instead viewed positively.

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.

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

4.1.1. 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, EMS, and **OH&SMS**).

4.1.2. 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:**

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

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

4.2.1 Although ABs are allowed to have increased sampling strategies for various reasons (e.g. national agreements with clients, stakeholders or regulators), **this document provides a baseline that shall be respected.**

4.2.2. The **assessment program** shall guarantee that competence is assessed **throughout the scope in the accreditation cycle, for all IAF codes of each MS scheme, with one of the mechanisms described in § 2.2.1.**

If this kind of assessment is not possible in the accreditation cycle, then **the AB shall reduce the scope of accreditation.**

MODIFICHE IAF MD17 – WITNESSING RULES (AND/OR)

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

IAF MD 17:2019 WITNESSING RULES	IAF MD 17:2019 WITNESSING EXAMPLES
<p>a) the AB can grant accreditation only in the non-critical IAF code/s of the technical cluster for one of which a witnessing activity is performed</p> <p>b) the AB can grant accreditation in all the codes of the cluster, performing an office activity in the critical code/s, but on condition: However, in both cases b), if the result of the witnessing activity is negative, the AB shall consider reducing the scope of accreditation.</p>	<p>for QMS - Food cluster - with 1 witnessing activity in IAF code 30, the AB can grant accreditation for:</p> <ul style="list-style-type: none"> • both IAF code 30 and 01, or • that the CB has demonstrated its competence on a documental basis in all the codes of the cluster; and • that the WAin the critical code/s takes place before any certificate in the critical code/s based on accreditation is issued.

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 § 4.2.8.

4.2.5. 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.**

4.2.6. For initial accreditation for each MS scheme, the **AB 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 AB'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.

4.2.7. The possibility to grant accreditation in a whole IAF code (note: the word 'whole' reflects that some ABs 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.**

IAF MD17:2019 – WITNESSING RULES

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

IAF MD 17:2019 WITNESSING RULES	IAF MD 17:2019 WITNESSING EXAMPLES
i. in IAF codes where the CB has already taken decisions for certification, or	for QMS, with 1 WA in IAF code 03, the AB 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)
ii. in IAF codes where the CB has demonstrated its competence by other means	e.g. demonstrating to have competent personnel for all the specific certification functions - see Annex A of ISO/IEC 17021).

4.2.9. In case 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 AB can consider removing the necessity of another witnessing activity.**

IAF MD17:2019 – QMS WA CLUSTERS TABLE (5)

Technical cluster	IAF 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	
Transport & Waste management	24	Recycling	24
	31	Transport, storage and communication	
Services	39	Other social services	37 or 33
	29	Wholesale and retail trade; Repair of motor vehicles, motorcycles and personal and household goods	
	32	Financial intermediation; real estate; renting	
	33	Information technology	
	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

IAF MD17:2019 – EMS WA CLUSTERS TABLE (6)

Technical cluster	IAF 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 wood products	
	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 technology	
	35	Other services	
	36	Public administration	
	37	Education	
Nuclear	11	Nuclear fuel	11
Health	38	Health and social work	38

IAF MD17:2019 – OH&SMS WA CLUSTERS TABLE (7)

Technical cluster	IAF code	Description of economic sector/activity, according to IAF ID1	Critical code(s)
Agriculture, forestry and fishing	1	Agriculture, forestry and fishing	1
	3	Food products, beverages and tobacco	
Food	30	Hotels and restaurants	3
	17	Limited to "Fabricated metal products"	
Mechanical	18	Machinery and equipment	
	19	Electrical and optical equipment	
	20	Shipbuilding	20 and 21
	21	Aerospace	
	22	Other transport equipment	
	7	Limited to "Paper products"	
Paper	8	Publishing companies	9
	9	Printing companies	
Construction	28	Construction	28
	34	Engineering services	
Goods production	4	Textiles and textile products	
	5	Leather and leather products	
	6	Wood and wood products	[4 (withdyeing) and 5 (with tanning)] or 6
	23	Manufacturing not elsewhere classified	
Chemicals	7	Limited to "Pulp and paper manufacturing"	
	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"	[7 and 10 and 12 and 13 and 16] or 17	
Mining and quarrying	2	Mining and quarrying	2
Supply	25	Electricity supply	
	26	Gas supply	25 or 26
	27	Water supply	
Transport & Waste management	31	Transport, storage and communication	
	24	Recycling	[31 (limited to dangerous goods) and 24] or 39 (limited to NACE 37, 38.1, 38.2, 39)
	39	Other social services	
Services	29	Wholesale and retail trade; Repair of motor vehicles, motorcycles and personal and household goods	
	32	Financial intermediation; real estate; renting	
	33	Information technology	29 or 35
	35	Other services	or 36
	36	Public administration	
Nuclear	37	Education	
	11	Nuclear fuel	11
Health	38	Health and social work	38

MODIFICHE DA IAF MD5:2015 A IAF MD5:2019

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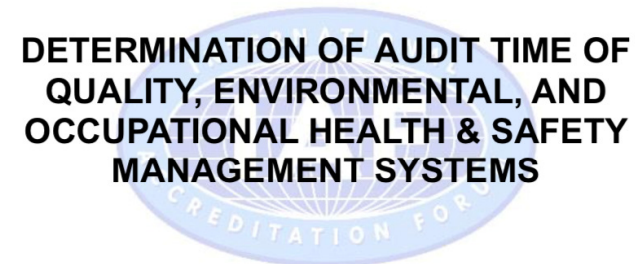


IAF Mandatory Document



Issue 3

(IAF MD 5:2015)



Issue 4

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- As agreed in Singapore 2018 IAF Meeting, the only small modification introduced in the Note of clause 3.9, was the “as” as indicated in the DP IAF TC 12.11 with MS WG consensus (endorsed during the IAF TC)

MODIFICHE DA IAF MD5:2015 A IAF MD5:2019

CL	Grade	Clause
0.5	Minor	0. INTRODUCTION
1.12	Major	1. DEFINITIONS (Complexity Category)
2.2.1	Minor	2. APPLICATION
2.2.4	Minor	2. APPLICATION
2.3.1	Major	2. APPLICATION (Calculation of the Effective Number of Personnel)
2.3.4	Major	2. APPLICATION (Similar or repetitive process)
2.3.5	Major	2. APPLICATION (Shift work employees)
2.3.6	Major	2. APPLICATION (Temporary unskilled personnel)
3.1	Major	3. METHODOLOGY FOR DETERMINING AUDIT TIME (Annex C OH&SMS)
3.4	Minor	3. METHODOLOGY FOR DETERMINING AUDIT TIME
3.6	Major	3. METHODOLOGY FOR DETERMINING AUDIT TIME (Tables OH&SMS 1 / OH&SMS 2)
3.6	Major	3. METHODOLOGY FOR DETERMINING AUDIT TIME (extent of auditing of each shift)

MODIFICHE DA IAF MD5:2015 A IAF MD5:2019

CL	Grade	Clause
3.8	Minor	3. METHODOLOGY FOR DETERMINING AUDIT TIME
3.9	Minor	3. METHODOLOGY FOR DETERMINING AUDIT TIME
4.5	Major	4. INITIAL MS CERTIFICATION AUDITS (remote audit)
5	Minor	5. SURVEILLANCE
7	Major	7. SECOND AND SUBSEQUENT CERTIFICATION CYCLES (IAF MD3)
8	Major	8. FACTORS FOR ADJUSTMENTS OF AUDIT TIME
9.2	Major	9. TEMPORARY SITES (sampling)
9.3	Major	9. TEMPORARY SITES (remote audits)
10.1	Major	10. AUDIT TIME OF A MULTI-SITE MS (sampling)
10.2	Major	10. AUDIT TIME OF A MULTI-SITE MS (sampling)
10.3	Major	10. AUDIT TIME OF A MULTI-SITE MS (cancelled)
11.2	Minor	11. CONTROL OF OUTSOURCING
11.3	Major	11. CONTROL OF OUTSOURCING

