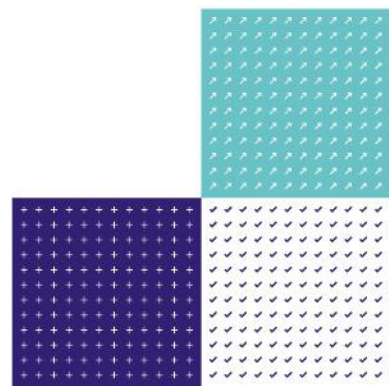


TPS 66

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UKAS Technical Policy Statement for the Implementation of IAF MD 17: 2019, Witnessing Activities for the Accreditation of Management Systems Certification Bodies



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Changes since last edition

Addition of OH&SMS Management Systems. Introduction of a 5-year witnessing programme.

1 Introduction

- 1.1 IAF MD 17 Witnessing Activities for the Accreditation of Management Systems Certification Bodies was issued in May 2019 with an application date of May 2020 to support the implementation of ISO/IEC 17011 (due to the situation with COVID-19, this application date was extended by 6 months to November 2020 – see [IAF COVID-19 FAQ 24](#)).
- 1.2 This Technical Policy Statement covers the UKAS policy and approach for implementation of IAF MD 17 for the witnessed assessing for Quality Management Systems (QMS), Environmental Management Systems (EMS) and Occupational Health & Safety Management Systems (OH&SMS) accreditations.
- 1.3 The TPS is applicable to all UKAS accredited Management Systems Certification Bodies (MS CB) with QMS, EMS and OH&SMS scopes.
- 1.4 UKAS uses a number of techniques to assess the capability of applicant and accredited MS CB's to deliver competent MS audits and certification. These techniques as applied to the UKAS assessment approach, including witnessed assessments, are set out in the UKAS management system, including publication GEN 1 *General Principles for the Assessment of Conformity Assessment Bodies by the United Kingdom Accreditation Service*.
- IAF MD 17 is the baseline against which UKAS will develop QMS, EMS and OH&SMS witnessed assessment programmes.

2 Requirements

- 2.1 UKAS will carry out sufficient assessment using recognised assessment approaches detailed in UKAS publication GEN 1, including witnessed assessments, to gain confidence that MS CBs are conducting competent assessments within their accredited scope.
- 2.2 IAF MD 17 issue 2 introduces witnessed assessment programmes covering 5-year periods of accreditation. The main reason for this was to harmonise the level of witnessed assessment across IAF MLA member accreditation bodies. Principles for incorporating this 5-year witnessing period into UKAS's 4-year accreditation cycle are described in this document.
- 2.3 To assist in achieving effective implementation of the witnessed assessment programme with multiples of 5 years, a table has been introduced to provide indicative guidance on typical coverage across the UKAS 4-year accreditation cycles.
- 2.4 The level of witnessed assessment will be consistent with MD 17 requirements, but the underlying imperative is the witnessed assessment programme will provide confidence to the marketplace that competent teams are being deployed by the UKAS accredited MS CBs.
- 2.5 In deciding how many and which audits are to be witnessed, UKAS will take into account factors such as:
- the CB's overall performance;
 - process complexity or legislation etc. which influence the ability of a 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, etc.;
 - 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;
 - previous or other office or witnessing assessment results, etc.
- 2.6 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;
 - 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;
 - national agreements with clients;
 - Witnessing integrated or combined audits.

2.7 Applications

For new QMS, EMS and OH&SMS applications and extensions to scope the assessment process will be developed to ensure that all technical areas within the applied-for scopes are assessed. Selection of witnessed assessments will be based on the critical codes within the related technical clusters as detailed in the tables in Appendices 1, 2 and 3 which follow the principles of IAF MD 17.

2.8 Initial UKAS 4-year accreditation cycle

During the initial 4-year accreditation cycle of QMS, EMS and OH&SMS accreditations of a MS CB UKAS will utilise the principles within IAF MD 17 regarding the selection of witnessed assessments. However, at the outset UKAS will have limited data to establish confidence in an individual CB, and therefore a wider programme of witnessed assessment may be required to gain this confidence. UKAS will utilise the tables in Appendices 1, 2 and 3 to determine a baseline for the Witnessed Assessment Programme, which will cover typically 80% of the critical codes for each accredited management system covered by IAF MD 17 (2.3 above refers).

2.9 Second UKAS 4-year accreditation cycle

During the second 4-year accreditation cycle of QMS, EMS and OH&SMS accreditations of a MS CB UKAS will utilise the tables in Appendices 1, 2 and 3 to determine a baseline for the Witnessed Assessment Programme.

2.10 Third UKAS 4-year accreditation cycle

During the third 4-year accreditation cycle of QMS, EMS and OH&SMS accreditations of a MS CB UKAS will utilise the tables in Appendices 1, 2 and 3 to determine a baseline for the Witnessed Assessment Programme. By the end of the second year of the third UKAS cycle, the CB will be required to have completed 2 full witnessed assessment programmes in line with their accredited scope for each management system. At this juncture consideration can be given by UKAS to move to a 10-year witnessed assessment programme for each management system where a CB has demonstrated good performance. Such changes to the witnessed assessment programme will be subject to justification by the Assessment Manager and authorisation through the UKAS Decision Making process. However, where concerns have been highlighted regarding the performance of the certification body during the first 2 5-year programmes, the witnessed assessment programme may be increased with justification at any point where these concerns are raised.

2.11 Establishing Good Performance

IAF MD 17 introduces the concept of an enhanced witnessed assessment programme for each accredited area of management system certification (QMS, EMS, etc.), which enables UKAS to extend the 5-year witness programme to a 10-year programme.

Consistent with IAF MD17 and 2.10 above, the 5-year witnessed assessment programme will continue for at least 2 cycles, until the CB has demonstrated sufficient experience and performance for an enhanced programme to be implemented at the discretion of UKAS, based on the evidence in a balanced scorecard. It should be noted that, where an enhanced programme has been implemented for a specific CB, if significant changes occur in the CB's auditor qualification process, auditing practices or results and audit personnel the witnessing frequency established in the first period will be reinstated.

Where an existing certification body has demonstrated good performance during the latest 5-year witnessed assessment programme and has also demonstrated good performance prior this, consideration will be given to moving the CB to the 10-year witnessing programme.

The justification for moving to the 10-year programme will be based on the evidence from the UKAS assessment data for the individual management system.

Any planned changes to move to a 10-year witnessed assessment programme will be introduced at the end of a completed 5-year witnessed assessment programme and be subject to independent review by a decision maker. For any significant reduction in the performance of a CB within an enhanced programme, UKAS reserves the right to revert to a 5-year witnessed assessment programme with immediate effect, any such change will be subject to an independent review by a decision maker.

UKAS will consider a number of qualitative and quantitative factors to determine if a CAB's witnessed assessment programme can be transferred to an enhanced programme, including: -

- ongoing quality of the performance:
 - significance of any nonconformities, promptness and effectiveness of their resolution
 - Significance of any complaints and appeals, promptness and effectiveness of their resolution
- Consistent delivery of the CBs processes and procedures throughout the whole organisation
- Consistency of key personnel and the organisation structure, including locations
- Demonstrated effectiveness of internal measures: -
 - Internal audit
 - Management review
 - Competence monitoring and evaluation of competence
- Demonstrated ongoing effectiveness of the management commitment
- Effective management of resources related to volume of certificates issued
- Implementation and ongoing effectiveness of the competence management system, including satisfactory performance of audit teams during witnessed assessments

Table 1 below outlines the general approach to interfacing the IAF MD 17 Witnessing programme (and enhanced programme) with the UKAS 4-year accreditation cycle.

Table 1

Years of Accreditation for each MS	UKAS	MD 17 5-year Prog	UKAS Guidance Indicator*	MD 17 10 year Prog	UKAS Guidance Indicator*	
Year 1	SU1	Cycle 1	80%	N/A	N/A	
Year 2	SU2					
Year 3	SU3					
Year 4	RA					
Year 5	SU1		20%			
Year 6	SU2	Cycle 2	60%	10-year Cycle 1st Reduced	40%	
Year 7	SU3					
Year 8	RA					
Year 9	SU1					
Year 10	SU2					
Year 11	SU3	Cycle 3	40%			
Year 12	RA					
Year 13	SU1					
Year 14	SU2					
Year 15	SU3					
Year 16	RA	Cycle 4	20%	60%		
Year 17	SU1					
Year 18	SU2					
Year 19	SU3					
Year 20	RA					
Year 21	SU1	Cycle 5	80%		10-year Cycle 2nd Reduced	40%
Year 22	SU2					
Year 23	SU3					
Year 24	RA					
Year 25	SU1					
Year 26	SU2	Cycle 6	60%	60%		
Year 27	SU3					
Year 28	RA					
Year 29	SU1					
Year 30	SU2					
Year 31	SU3	↓	↓	↓	↓	
↓	↓					

3 Clarifications

None at this juncture.

4 Implementation

- 4.1 From the date of this publication UKAS Assessment Managers will apply this policy when planning and maintaining assessment programmes for individual accredited certification bodies covered by this policy.

5 Queries

- 5.1 Any queries regarding this policy should be made to;
- the UKAS Assessment Manager of the certification body,
 - Steve Randall, Accreditation Specialist - Certification (steve.randall@ukas.com), or
 - Kevin Belson, Technical Manager (kevin.belson@ukas.com).

Appendix 1 - QUALITY MANAGEMENT SYSTEMS SCOPE CLUSTERS ADOPTED BY UKAS

UKAS has determined that the clusters of IAF codes detailed in IAF MD 17 Section 5 for ISO 9001 accreditation scoping is generally appropriate but additional Critical Codes have been added in some cases (see *red text*) to assure confidence is maintained in the marketplace. The table below details the UKAS clusters including the additional critical codes.

In order for UKAS to consider granting all scopes in an individual Technical cluster a CAB will be required to demonstrate that they have determined and evaluated the competence required for the technical areas for all the IAF Codes within the Technical Cluster (Clause 7.1 of ISO/IEC 17021-1: 2015 refers).

Technical Cluster	IAF Code	Description of economic sector / activity, according to IAF ID 1	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 plus where full scope has been granted the following related areas are to be subject to witnessed assessment over the 4 years when the CB has such clients <ul style="list-style-type: none"> • Lifts • Compressors • Pressure Vessels • Boilers • Arms and Ammunitions (Information to be provided by CB as part of IAF MD 15 information submission)
	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 and 16
	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 plus where full scope has been granted the following related

Technical Cluster	IAF Code	Description of economic sector / activity, according to IAF ID 1	Critical Code(s)
	5	Leather and leather products	<p>areas are to be subject to witnessed assessment over the 4 years when the CB has such clients</p> <ul style="list-style-type: none"> • PPE • Tyres • Toys <p>(Information to be provided by CB as part of IAF MD15 information submission)</p>
	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	
Energy Supply	25	Electricity supply	25 and 26
	26	Gas supply	
	27	Water supply	
Transport & Waste Management	24	Recycling	24 and 31
	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	<p>33 (see below) or 37 plus where full scope has been granted the following related areas are to be subject to witnessed assessment over the 4 years when the CB has such clients</p> <p>EA29 - Repair of motor vehicles, and motorcycles (NACE 45.2 & 45.4)</p> <p>EA33 – If CB has clients with scopes covering safety critical software (NACE 62)</p> <p>EA 35 – If CB has clients with scopes covering Security and investigation activities (NACE 80)</p> <p>(Information to be provided by CB as part of IAF MD15 information submission)</p>
	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

Appendix 2 - ENVIRONMENTAL MANAGEMENT SYSTEMS SCOPE CLUSTERS ADOPTED BY UKAS

UKAS has determined that the clusters of IAF codes detailed in IAF MD 17 Section 6 for ISO 14001 accreditation scoping is generally appropriate but additional critical codes have been highlighted in some areas (see *red text*) to assure confidence is maintained in the marketplace. The table below details the UKAS clusters including the additional critical codes.

In order for UKAS to consider granting all scopes in an individual Technical cluster a CAB will be required to demonstrate that they have determined and evaluated the competence required for the technical areas for all the IAF Codes within the Technical Cluster (Clause 7.1 of ISO/IEC 17021-1: 2015 refers).

Technical Cluster	IAF Code	Description of economic sector / activity, according to IAF ID 1	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 and 15 and 16 and 17 <i>The addition is to take into consideration the fact that MD5 indicates them all to be high complexity</i>
	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 and 26
	26	Gas supply	

Technical Cluster	IAF Code	Description of economic sector / activity, according to IAF ID 1	Critical Code(s)
	27	Water supply	The addition is to take into consideration the fact that MD5 indicates them all to be high complexity
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 and (35 or 36) The addition is to take into consideration the fact that MD 5 indicates 29 to be high complexity
	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

Appendix 3 - OCCUPATIONAL HEALTH & SAFETY MANAGEMENT SYSTEMS SCOPE CLUSTERS ADOPTED BY UKAS

UKAS has determined that the clusters of IAF codes detailed in IAF MD 17 Section 7 for ISO 45001 accreditation scoping is generally appropriate but additional critical codes have been highlighted in some areas (see *red text*) to assure confidence is maintained in the marketplace. The table below details the UKAS clusters including the additional critical codes.

In order for UKAS to consider granting all scopes in an individual Technical cluster a CAB will be required to demonstrate that they have determined and evaluated the competence required for the technical areas for all the IAF Codes within the Technical Cluster (Clause 7.1 of ISO/IEC 17021-1: 2015 refers).

Technical Cluster	IAF Code	Description of economic sector / activity, according to IAF ID 1	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 and 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 (tanning)] or 6
	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 and 16] and 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 and 26
	26	Gas supply	

Technical Cluster	IAF Code	Description of economic sector / activity, according to IAF ID 1	Critical Code(s)
	27	Water supply	
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 technology	
	35	Other services	
	36	Public administration	
	37	Education	
Nuclear	11	Nuclear fuel	11
Health	38	Health and social work	38