LATAK - D.019-11/05.2024
LATAK regulation for selection of technical areas for the witnessing of management system certification bodies and EMAS environmental verifiers

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I Introduction

This document provides procedure according to which the Latvian National Accreditation Bureau (hereinafter referred to as the LATAK) upon assessing/surveillance management system certification bodies in accordance to LVS EN ISO/IEC 17021-1:2015 (ISO 9001; ISO 14001; ISO 45001; ISO 22000; ISO 27001; ISO 20000-1, ISO 50001, ISO 13485, ISO 21001, ISO 37001; ISO 3834-2; ISO 3834-3; ISO 3834-4; ISO 22301; FSSC 22000; PEFC) and EMAS environmental verifiers (hereinafter referred to as CB), selects technical areas for the witnessing. LATAK may define criteria for accreditation of other management system certification bodies as well, including them in the present document or creating a separate document. LATAK can define also other accreditation requirements to the management system certification bodies and include in this document or develop another document.

LATAK Witnessing policy is based on International Accreditation Forum (hereinafter referred to as the - IAF) document IAF MD17 "Witnessing Activities for Accreditation of Management Systems Certification Bodies" – in the sections 2 and 3 where the general requirements of witnessing are described.

Witnessing policy is already defined in the several areas by the ISO developed standards (e.g. ISO 22003). If there does not exist witnessing policy of IAF or European cooperation for Accreditation, LATAK in cooperation with interested parties can develop their own witnessing policy or the witnessing policy with specific requirements for the situation in Latvia.

For the systematization of witnessing the technical areas (where reasonable) are grouped in Technical clusters separately for each certification standard.

The initial accreditation for the certification scheme shall include witness before the accreditation decision (except for the mandatory scope). In the absence of specific conditions for the certification scheme, during initial accreditation shall be witnessed one stage 1 and stage 2 audit which cover the key processes.

Management system certification bodies in their agreements with clients shall define requirement to guarantee the participation of observers in the certification audits. In case of refusal of participation of witnessing representatives, the justifivation has to be accepted by certification body and LATAK. If the participation is denied the issue of accredited certificate has to be withdrawn.

II Selection of technical areas for accreditation or extension of the scope for QMS (ISO 9001), EMS (ISO 14001), OH&SMS (ISO 45001) and EMAS

IAD MD 17 defines the basic requirements that LATAK includes in assessment programs for ISO 9001, ISO 14001, ISO 45001.

CB shall apply for the accreditation for each certification standard (ISO 9001:2015 "Quality management systems - Requirements", ISO 14001:2015 "Environmental management systems – Requirements with guidance for use", LVS ISO 45001:2018 "Occupational health and safety management systems Requirements with guidance for use"), and should specify particular technical areas in accordance with the effective IAF economic sector codes and depending on the customers economic activities classification (NACE Revision 2). In the scope of

accreditation, technical areas are defined in accordance with IAF ID 1:2023 „IAF Informative Document for QMS and EMS Scopes of Accreditation". If the certification body is unable to provide competence throughout the IAF economic sector, it is necessary to define the exceptions or to define particular field according to the NACE rev. 2 codes.

Selection of technical areas is carried out for each certification standard selected by the CB separately: ISO 9001, ISO 14001 or ISO 45001.

Considering that for accreditation of EMAS verifiers (Regulation (EK) Nr. 1221/2009), the standard requirements of LVS EN ISO/IEC 17021-1:2015 are applied, the witnessing policy is used as for certification bodies who certifies environmental management systems according to ISO 14001:2015. Supervision of EMAS verifiers who is accredited/ licensed in other countries is described in LATAK-D.042 document.

During the initial accreditation or scope extension to additional certification standard, at least one witness of the first and second stage audit shall be carried out.

Witness is carried out during the initial assessment (accreditation), as well as the extension of the scope in critical sectors of each technical cluster (in accordance with the IAF MD 17 articles 4.2.3. and 4.2.4), separately for each certification standard of the accreditation scope. The critical sector codes and QMS and EMS are defined in the IAF MD 17 articles 5., 6. and 7. tables, and for OH&SMS in addition IAF MD 22:2023 "Application of ISO/IEC 17021-1 for the Certification of Occupational Health and Safety Management Systems (OH&SMS)" Annex B.

To expand the scope of accreditation after initial accreditation, the certification body shall provide a completed application for each scope according to IAF ID1 with evidences demonstrating the operation of management system and competence for the desired scopes.

   • If LATAK has accredited the certification body for a critical code in a technical cluster, LATAK may expand the scope of accreditation to include non-critical codes from the relevant cluster after receiving and evaluating the certification body's application for the scope and supporting documents.

   • A witnessed audit is required for the extension of scope if the scope is in a technical cluster for which the certification body is not yet accredited (whether the scope is deemed critical or not) and/or the scope is defined as a critical per IAF MD 17 or MD 22 and the certification body has not previously been witnessed for this field.

III Selection of technical areas for surveillance on QMS, EMS, OH&SMS un EMAS

1. During the accreditation cycle, assessment of competence for each cluster of each management system scheme included in the accreditation scope shall be assessed. Witnessing is amended with other assessment techniques to guarantee the assessment of competence in all accredited scope. If the above mentioned assessments are not possible within the two accreditation cycles, LATAK should reduce the scope of the certification body 's accreditation.

During office visit, the client records and the competence of the personnel (qualification and supervision, including the monitoring data of the certification body's in the technical fields and compliance with the competence standards) is examined in all technical areas of the

accreditation. As appropriate the relevant persons involved in the certification are interviewed or LATAK and the certification body agree on the witness in the respective area.

2. Combined/ integrated audits may be used where the certification body simultaneously audits conformity to several certification standards.

3. The frequency of witnessing and technical areas selection is determined by LATAK based on previous assessment results and other risk factors.

4. The need for repeated witnessing during the accreditation cycle is determined by the LATAK based on assessment results.

5. In selection of technical areas for witnessing, as far as it is possible, LATAK follows that not the same IAF scope or the same CB auditor or the same client is selected during the one accreditation cycle.

IV Categories and Clusters for ISO 22000 certification

The food chain categories are defined in LVS ISO 22003-1:2023 „Food safety management systems – Requirements for bodies providing audit and certification of food safety management systems, table A.1

Category codes	Category
A	Farming or handling of animals
B	Farming or handling of plants
C	Food, ingredient and pet food processing
D	Feed and animal food processing
E	Catering / food service
F	Trading, retail and e-commerce
G	Transport and Storage Services
H	Services
I	Production of Packaging Material
J	Equipment
K	Chemical and bio-chemical

According to EA 3/11 document the categories described in table A.1 of Annex A of ISO 22003-1 are divided into the following clusters:
1. Farming (A+B)
2. Food and feed processing (C+D)
3. Catering (E)
4. Distribution, Transport and Storage (F+G)
5. Auxiliary industries (H+I+J)
6. Biochemical (K)

Clusters are used for witnessing purpose. In the event of initial accreditation, accreditation is granted if at least one witness in each cluster is ensured. The same conditions apply if scope extension is requested. If scope extension is requested within the same cluster, witness is not mandatory.

Witness is compulsory in categories of the 2nd cluster each year. In other clusters, witness must be ensured within each accreditation cycle.
One witness audit may include several categories.

In an initial accreditation certification body must ensure witness of initial certification audit, which includes 1st and 2nd stage audit. One and the same producer and audit team witness must be avoided if possible.
Based on the witness results LATAK may request repeated or additional witnessing.

Regarding the FSSC 22000 scheme, the witness policy is primarily based on the requirements specified in the standard LVS ISO 22003-1:2023 and the FSSC 22000 scheme.

V Additional requirements in ISO 13485 certification area

LVS EN ISO 13485:2016 "Medical Devices. Quality management systems. Requirements for regulatory purposes (ISO 13485:2003" for management system certification bodies in the area of certification during initial accreditation of the body or upon scope extension according to the request must ensure witnesses in every Technical Area of medical devices according to tables provided in Annex 1 of IAF MD 8:2023.
As concern classification of the medical devices and the corresponding risk levels see IAF ID 13:2024 "IAF Medical Device Nomenclature (IAF MDN)".

During of each accreditation cycle witnessing in each main technical area must be ensured.

VI Additional requirements in ISO 37001 certification area

In the case of selecting witnesing according to ISO 37001:2016 "Anti-bribery management systems - Requirements with guidance for use" should be taken into account:
    1) is this customer a public administrative body or a commercial entity;
    2) the company's industry sector – especially if it is construction (including the provision of infrastructure) or the transport and logistics area;
    3) participation in the public procurement.

In the area of certification of ISO 37001 there are not identified individual critical technical areas. For the accreditation certification body need to ensure one witness.

Further witnessing should be ensured in accordance with the CB's assessment program. In accordance with the amount of issued certificates and/or of certified business areas LATAK may request to ensure witness in each surveillance procedure of accreditation.

VII Additional requirements in other sectors

In such certification schemes there are not identified individual critical technical areas and for the accreditation CB need to ensure a witness:

* LVS ISO 21001:2018 "Educational organizations - Management systems for educational organizations - Requirements with guidance for use""
* LVS ISO/IEC 27001:2023 "Information technology- Security techniques- Information security management systems- Requirements";
* ISO/IEC 20000-1:2018 "Information technology - Service management - Part 1: Service management system requirements";ISO 3834-2:2021 "Quality requirements for fusion welding of metallic materials – Part 2: Comprehensive quality requirements"
* ISO 3834-3:2021 "Quality requirements for fusion welding of metallic materials – Part 3: Standard quality requirements"

- ISO 3834-4:2021 "Quality requirements for fusion welding of metallic materials – Part 4: Elementary quality requirements";
- ISO 22301:2019 "Security and resilience Business continuity management systems Requirements";
- PEFC forest management certification;
- LVS EN ISO 50001:2018 "Energy management systems Requirements with guidance for use".

Further witnessing should be ensured in accordance with the certification body's assessment program. In accordance with the amount of issued certificates and/or business areas of certified clients, LATAK may request to ensure witnessing in each surveillance procedure of accreditation.

VIII Organisation of witnessing

Five days prior to the witnessing the certification body must submit the following documentation to the LATAK:

1. information on the client and correct address and contact phone number;
2. Audit plan
3. Justification for determination of the audit time;
4. Certificate (if applicable)
5. Table of contents of the client's manual and the list of documents;
6. Offer or certification contract.
7. Report of the documentation analysis and/or previous Audit Report with relative non conformities and corrective actions (where applicable);
8. Auditor/expert CV's and evaluation of qualification in technical areas/schemes of the client
9. Audit procedure of the certification body;
10. Audit documentation (audit report, audit non-conformities) after the audit.

The following documents will have to be available at the audited site:

- Checklists or other documentation used by certification body in the audit in accordance with specific certification scheme / technical area (if applicable);
- The quality manual, procedures and other documents of client that are used by auditors as objective evidence during the audit.

IX References
NACE rev. 2 Publication Official Journal L 393/1, 30.12.2006

Register of changes

Version	Content of changes	Date
06	Several editorial corrections, sections 6, 7, 8, 9 are added.	24.03.2014.
07	Corrections in all documents, sections 4. and 5. are cancelled, sections 7, 8 are added	11.12.2017.
08	Changes concerning ISO 45001 and ISO/IEC 20000-1. Actualisations of standards https://www.iso.org/management-system-standards-list.html	18.12.2019.
09	Actualization	04.12.2021.

10	Actualization, changes in selection of witnessing during the accreditation cycle, additional groups for energy management systems	25.05.2022.
11	The current versions of the applicable documents have been specified; deleted Section V on ISO 50001 certification requirements	09.05.2024.