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# MAURITAS

# A22

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Procedure on classification of scope sectors for planning of witnessing in the area of Certification Body accreditation

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## Foreword

The MAURITIUS ACCREDITATION SERVICE (MAURITAS) is a governmental body established in 1998 to provide a national, unified service for the accreditation of Conformity Assessment Bodies (CABs) such as calibration/testing laboratories, certification bodies and inspection bodies. Organizations that comply with the MAURITAS requirements are granted accreditation by MAURITAS.

## About MAURITAS publications

MAURITAS publications are categorized as follows:

- R series                      Publications containing general policy and requirements related to MAURITAS accreditation.
- G series                      Publications providing guidance on MAURITAS requirements.
- A series                      Publications related to assessment procedures.
- P series                      MAURITAS quality system procedures
- F series                      MAURITAS Forms
- Directories                  Classified listing of accredited organizations.

Mauritius Accreditation Service (MAURITAS)  
4<sup>th</sup> Floor, Crescent House  
Corner Deschartes and Foucault Streets  
Port Louis  
Mauritius  
Tel: +230 208 16 90  
Fax: +230 210 61 01  
Email: [mauritas@govmu.org](mailto:mauritas@govmu.org)  
Website: [www.mauritas.org](http://www.mauritas.org)

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# Procedure on classification of scope sectors for planning of witnessing in the area of Certification Body accreditation

## 1.0 Purpose

**1.1** This procedure establishes the mechanism for classification of scope sectors for quality, information and environmental management systems as well as for the food chain categories for food safety management system for witnessing in areas of certification body accreditation when handling applications, requests for extension of scope of accreditation received from Certification Bodies (CB) and carrying out assessments.

## 2.0 Scope and Responsibilities

**2.1** This procedure describes the classification of scope sectors for the quality, information and environmental management systems as well as for the food chain categories for food safety management system during handling applications, requests for extension of scope sectors and when carrying out assessments of certification bodies when MAURITAS is planning for witnessing.

MAURITAS uses the 39 Scope Sectors recognized by the International Accreditation Forum (IAF) and utilizes the IAF document on “scoping” as and when required. Classification of food chain categories is as per Annex A of ISO 22003-1:2022.

This procedure refers to MAURITAS requirements and guidance for the preparation, conduct and reporting of MAURITAS certification body accreditation scheme.

It is the responsibility of staff of CB Accreditation Section to ensure implementation of this procedure.

## 3.0 References

The following documents contain provisions which, through reference in this text, constitute provisions of the MAURITAS accreditation system. For dated references, subsequent amendments to, or revisions of, any of these publications do not apply. For undated MAURITAS references, the latest edition of the document referred to, applies. MAURITAS maintains a register, of the current valid MAURITAS accreditation documents.

- |            |                        |   |   |
|------------|------------------------|---|---|
| <b>3.1</b> | <b>ISO/IEC 17021-1</b> | : | Conformity assessment – Requirements for bodies providing audit and certification of management systems           |
| <b>3.2</b> | <b>MAURITAS A9</b>     | : | Procedure for pre-assessment, initial assessment and re-assessment of Certification Bodies                        |
| <b>3.3</b> | <b>MAURITAS A18</b>    | : | Procedure for assessment of accredited Certification Bodies   |
| <b>3.4</b> | <b>MAURITAS A19</b>    | : | Extension of Scope of Accreditation in Field of Activities regarding System Certification                         |
| <b>3.5</b> | <b>ISO 22003-1</b>     | : | Food safety – Part 1: Requirements for bodies providing audit and certification of food safety management systems |

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- 3.6 IAF MD 11** : IAF Mandatory Document for the Application of ISO/IEC 17021 for Audits of Integrated Management Systems (IMS)
- 3.7 IAF MD 16** : Application of ISO/IEC 17011 for the Accreditation of Food Safety Management Systems (FSMS) Certification Bodies
- 3.8 IAF MD 17** : Witnessing Activities for the Accreditation of Management Systems Certification Bodies

## 4.0 Definition

### 4.1 Witnessing:

Witnessing of an audit is an assessment technique performed by an Accreditation Body (AB) whereby it observes, without interfering and influencing, an audit performed by a CB audit team within its scope of accreditation.

### 4.2 Classification of scope sectors

The classification of scope sectors is the grouping of economic activities and business areas used by Accreditation Bodies with the objective of planning for the witnessing of management system certification schemes.

### 4.3 NACE Code System

NACE code system is the European standard for industry classifications and was introduced in 1970. NACE stands for "Nomenclature Générale des Activités Economiques dans l'Union Européenne". The lists of scopes of accreditation are based on the statistical nomenclature for economic activities NACE rev. 2 published by the Commission of European Communities (official Journal L 393/1, 30.12.2006).

The field of activities can be accessed on website:

<https://ec.europa.eu/eurostat/documents/3859598/5902521/KS-RA-07-015-EN.PDF>

### 4.4 Critical code

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)

## 5.0 Planning of witnessing based on classification of scope sectors

**5.1** MAURITAS shall request the applicant/accredited CB to submit a complete and updated schedule of confirmed and planned audits (dates, location, audit team composition, audit type and scope) on an annual basis. The CB is not expected to change its audit team, audit plan or audit duration due to the witnessing. If such changes do take place, the CB shall provide appropriate justification to MAURITAS. Based on the annual audit schedule, MAURITAS shall prepare/update an assessment programme covering the scope of the applicant/accredited CB which shall be used when planning for witnessing.

**5.2** Refusal to accept a witness assessment by MAURITAS shall be justified and accepted by both the CB and MAURITAS, and may result in suspension and eventual withdrawal of accredited certification where reasons are not accepted.

**5.3** When deciding how many and which audits are to be witnessed, MAURITAS shall take into account the following factors, but not limited to:

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- i. the CB's overall performance;
  - ii. factors such as process complexity or legislation etc. which influence the ability of the certified organisation to demonstrate its ability to meet the intended outcomes of the Management System;
  - 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
  - x. risks associated with the activities of the certified body

**5.4** MAURITAS shall hold an internal meeting to discuss on the factors listed in **section 5.3**. Additional factors may be taken into consideration when selecting witnessing activities which include, but not limited to, number of certificates issued, number of auditors, complaints, customer surveys.

**5.5** Prior to the witnessing activity, the CB shall submit its audit plan, previous audit reports if applicable, audit team competence records and the justification for calculation of the audit time.

**5.6** MAURITAS has adopted the approach of grouping IAF codes into technical clusters as detailed in international standards and guidelines. Critical codes have been identified for each technical cluster.

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

**5.8** In the first accreditation cycle of each Management System scheme (meaning from 1st assessment to the 1st re-assessment), at least one witnessing activity shall be performed in each technical cluster of each Management System scheme. This programme will continue until the CB has demonstrated sufficient experience and performance for an enhanced programme. When this happens, at least one witnessing activity in each technical cluster of each Management System scheme shall be performed, to be complemented with other assessment activities to guarantee that each technical cluster is assessed during two successive accreditation cycles. 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.

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

- i. if a technical cluster has only 1 critical code, a witnessing activity in this critical code shall be performed to grant accreditation for all the IAF codes in that cluster - e.g. for QMS, cluster Food, with 1 witnessing activity in IAF code 03, accreditation can be granted in the other IAF codes (01 and 30) of that cluster; for EMS, cluster Paper, with 1 witnessing activity in IAF code 09, accreditation can be granted in the other IAF codes (07 and 08) of that cluster;
- ii. if a technical cluster has more than 1 critical code, at least a witnessing activity shall be performed:
  - (a) in all the critical codes that are identified with an “and” (on the “Critical code” column); e.g. for EMS, cluster Goods Production, with 1 witnessing activity in IAF code 04 or 05, accreditation can be granted in all the noncritical codes (06 and 23) of that cluster, but the other critical code (04 or 05) needs to be witnessed to be granted.
  - (b) in one of the critical codes that are identified with an “or” (on the “Critical code” column); e.g. for QMS, in cluster Mechanical, with 1 witnessing activity in IAF code 20 or

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22, accreditation can be granted in the other IAF codes (17, 18, 19, 20 or 22) of that technical cluster;

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

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

(b) accreditation can be granted in all the codes of the cluster, performing an office activity in the critical code/s, but on condition:

- that the CB has demonstrated its competence on a documental basis in all the codes of the cluster; and
- that the witnessing activity in the critical code/s takes place before any certificate in the critical code/s based on accreditation is issued. However, in such cases, if the result of the witnessing activity is negative, reduction in the scope of accreditation shall be considered.

**5.10** 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.

**5.11** For initial accreditation for each Management System scheme, both stage 1 and stage 2 audits shall be witnessed, 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 MAURITAS. If the CB does not have any new clients, it is possible to witness one renewal or two assessments which cover the key processes.

**5.12** The possibility to grant accreditation in a whole IAF code is always subject to the CB demonstrating it has the competence to manage certification in all of the underlying technical areas.

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

- (a) in IAF codes where the CB has already taken decisions for certification (e.g. for QMS, with 1 witnessing in IAF code 03, accreditation shall be granted only for IAF codes 30 and 03 in cases where the CB has taken no decisions for certification in IAF code 01), or
- (b) 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 17021-1).

Note: for existing accredited CBs, if they already hold accreditation for a critical code but not the related non-critical code they can have their accreditation extended to include the noncritical codes, in line with section 5.13.

**5.14** In cases of an integrated or combined management system audit, the scope of the witnessing activity shall be agreed with the CB.

**5.15** In the context of planning for QMS and ISMS witnessing, MAURITAS shall use the classification as described in the **Table 1** to identify scope sectors where witnessing is a requirement in the relevant management systems based on international standards and guidelines.

**Table 1: Classification of scope sectors for QMS and ISMS witnessing**

Technical cluster	IAF code	Description of economic sector/activity, according to IAF ID1	Critical code(s)
Food	01	Agriculture, forestry and fishing	03
	03	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	07	Limited to "Paper products"	09
	08	Publishing companies	
	09	Printing companies	
Minerals	02	Mining and quarrying	02 or 15
	15	Non-metallic mineral products	
	16	Concrete, cement, lime, plaster, etc.	
Construction	28	Construction	28
	34	Engineering services	
Goods production	04	Textiles and textile products	05 or 14
	05	Leather and leather products	
	06	Wood and wood products	
	14	Rubber and plastic products	
	23	Manufacturing not elsewhere classified	
Chemicals	07	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	
	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 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

**5.16** For planning EMS witnessing, MAURITAS shall use the classification as described in the **Table 2** to identify scope sectors where witnessing is a requirement in the relevant management systems based on international standards and guidelines.



**Table 2: Classification of Scope sectors for EMS witnessing**

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	

5.17 In the context of planning for HACCP and FSMS witnessing, MAURITAS shall use the classification as described in the **Table 3** to identify the food chain categories where witnessing is a requirement in the relevant management systems based on international standards and relevant IAF Mandatory Documents.

**5.18** MAURITAS shall not grant accreditation for a given food chain category without at least one witness assessment performed in the cluster.

**5.19** This criterion is also applicable to extension of scopes. For extensions inside a cluster, witnessing is not mandatory. Witnessing is mandatory for extensions to categories in a new cluster.

**5.20** These requirements are minimum requirements (except for the cases described below). MAURITAS shall assess every individual case and decide if more witnessing is needed in specific situations based on the outcome of the office assessment, existing food safety management schemes accreditations and process risks.

**5.21** MAURITAS may take into account accreditations granted to the Certification Body in other food safety standards or schemes (either management system or product certification schemes) for categories in the same cluster when deciding which witness assessments need to be performed. In these cases, MAURITAS may use witnessing performed in one of such schemes to substitute some, but not the majority, of the witness assessment activities required in sections 5.18 to 5.22. This should be based on the certification activity of clients and distribution of the Certification Body's auditors. These cases shall be fully documented and justified by MAURITAS.

**5.21** MAURITAS shall witness at least one audit in cluster 2 (if covered by the accredited scope of the Certification Body) each year and at least one audit in each of the other clusters during the accreditation cycle.

**5.22** A single witness assessment could encompass different categories if the activities of the witnessed company and of the Certification Body justify it. That is, Food chain categories within a particular cluster could be covered by a single witnessing in that cluster subject to a demonstration of competence for all the food chain categories within that cluster.

**5.23** A witness of an initial certification audit, including stage 1, should be undertaken as part of the initial accreditation. At least one of the witness audits per accreditation cycle should include an initial certification stage 2 audit or recertification audit.

**5.24** Wherever feasible, throughout its accreditation cycle, MAURITAS should ensure that witness assessments are performed in those sub-categories (from those covered by the Certification Body scope) with the higher risks of food safety hazards. It is also preferable that MAURITAS witnesses an audit team that has not been witnessed previously in that particular food chain category.

**5.25** As far as possible, witness assessments should avoid the repeated witnessing of the same Certification Body client company. MAURITAS shall consider previous results of witnessing to establish its witness strategy.

**Table 3: Classification of food chain categories for HACCP and FSMS**

S.N	Cluster	Category		Subcategory		Witnessing
1.	Primary production	A	Farming or handling of animals	AI	Farming of animals for meat / milk / eggs / honey	Either A or B
				AII	Farming of fish and seafood	
		B	Farming or handling of plants	BI	Farming – Handling of plants (other than grains and pulses)	
				BII	Farming – Handling of grains and pulses	
				BIII	Pre-process handling of plant products	
2.	Processing of food for humans and animals	C	Food, ingredient and pet processing	C0	Animal – primary conversion	Either C or D
				CI	Processing of perishable animal products	
				CII	Processing of perishable plant-based products	
				CIII	Processing of perishable animal and plant – Products (mixed products)	
		CIV	Processing of ambient stable products			
D	Feed and animal food processing	Feed and animal food processing				
3.	Catering / food service	E	Catering / food service			E
4.	Retail, transport and storage	F	Trading, retail and e-commerce	FI	Retail / wholesale	Either F or G
				FII	Brokering / trading	
		G	Transport and storage services			
5.	Auxiliary services	H	Services			H
6.	Packaging material	I	Production of packaging material			I
7.	Auxiliary equipment	J	Equipment			J
8.	Biochemical	K	Chemical and bio-chemical			K

5.26 All records of implementation of the above procedure shall be kept by MAURITAS in files.

## 6.0 Related forms

## Appendix A: Amendment Table

SN	Section	Amendment
1.	3.7	1. 'IAF MD 16' has been added to the 'References'
Issue 2, Rev 4		
2.	1.1	1. "for quality, information and environmental" has been added before "management systems..." and "as well as... food safety management system" has been added after "management systems..."
	2.1	1. "for quality, information and environmental" has been added before "management systems..." 2. "Classification of food chain categories is as per Annex A of ISO 22003-1:2022." has been added in the 2 <sup>nd</sup> paragraph
	3.5	1. Standard ISO/TS 22003 has been updated to ISO 22003-1
	4.3	1. "The lists of scopes of accreditation... European Communities (official Journal L 393/1, 30.12.2006) " has been added at the end of the paragraph 2. Link for NACE code has been updated
	5.17	1. "relevant IAF Mandatory Document" has replaced "guidelines" at the end of the paragraph
	5.18 -5.25	1. New sections 5.18 - 5.25 have been added to cater for the requirements MD 7.4.5.2 to MD 7.4.5.11 of IAF MD16:2024, Issue 2
	Table 3	1. Table 3 has been aligned with respect to Annex A of ISO 22003-1 and MD 7.4.5.1 of IAF MD16:2024, Issue 2