



MAURITAS

A24

Procedure for sampling of different sites,
personnel and scope of accreditation

Mauritius Accreditation Service

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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.

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Procedure for sampling of different sites, personnel and scope of accreditation

1 Purpose

1.1 This procedure defines the sampling methods to be used in order to ensure a proper evaluation of the competence of the CAB for which it has already been accredited, including those CABs that work from various premises.

2 Scope and Responsibilities

2.1 This procedure shall be used by MAURITAS staff for sampling of different sites, personnel and scope of accreditation covered by the accredited CAB during assessment and re-assessment visits. The document covers the assessment of all sites of the CAB where key activities are performed, and where applicable, witnessing of a representative sample of the CAB's scope of accreditation as well as a representative number of technical staff. MAURITAS implements an assessment sampling plan for each accredited CAB appropriate to the CAB's scope of accreditation. It is the responsibility of MAURITAS staff to adhere to this document when planning for assessments.

It should be noted that for the determination of sampling of sites, personnel and scope of accreditation for an accredited certification body, the assessment or re-assessment combines both the office assessment and the witnessing audit.

3 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.

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|------------|----------------------|---|---|
| 3.1 | ISO/IEC 17011 | : | Conformity assessment – General requirements for accreditation bodies accrediting conformity assessment bodies |
| 3.2 | ISO/IEC 17000 | : | Conformity assessment – Vocabulary and general principles |
| 3.3 | IAF MD1 | : | Certification of multiple sites based on sampling |
| 3.4 | IAF MD5 | : | Determination of audit time for Quality, Environmental and Occupational Health & Safety Management Systems |
| 3.5 | IAF MD16 | : | Application of ISO/IEC 17011 for the accreditation of Food Safety Management System (FSMS) Certification Bodies |
| 3.6 | IAF MD17 | : | Witnessing activities for the accreditation of management systems Certification Bodies |
| 3.7 | IAF MD25 | : | Criteria for evaluation of conformity assessment schemes |
| 3.8 | MAURITAS A8 | : | Procedure for assessment – Laboratories |

3.9 MAURITAS A9 : Procedure for Preliminary Visit, Initial Assessment and Re-assessment of Certification Bodies

3.10 MAURITAS A18 : Procedure for Assessment and Extension of Scope of accredited management systems Certification Bodies

3.11 MAURITAS A30 : Procedure for assessment of product Certification Bodies

3.12 MAURITAS A31 : Criteria for determination of suitability and acceptance of product certification schemes for accreditation purposes

4 Definition

4.1 Multi-site Facility

A multi-site facility is an organization having an identified central function (hereafter refer to as a Central Office – but not necessarily the Head Office of the organization) at which certain activities are planned, controlled or managed and a network of local sites at which activities are fully or partially carried out.

4.2 Sampling

Sampling is the provision of a sample of the objective of conformity assessment according to a procedure.

4.3 Key Activities

Key activities are activities such as (but not limited) policy formulation, process and/or procedure development and, as appropriate, contract review, planning of conformity assessments, review, approval and decision on the results of conformity assessment.

4.4 Technical Signatory

A technical signatory is a person deemed as competent by MAURITAS whose signature confers validity on the organization's certificates, reports and/or results issued under its MAURITAS accreditation.

5 Information for sampling and planning of assessment

5.1 Accredited CABs shall provide MAURITAS with all the necessary information prior to the assessment or re-assessment visit. Accordingly, MAURITAS staff shall plan the assessment and shall select appropriate sample, taking into consideration the following:

- a) The sampling of sites from where key activities are performed;
- b) The sampling of the scope of accreditation; and
- c) The sampling of personnel who perform key activities, where applicable.

6 Sampling of sites

6.1 Sampling of sites, including specimen collection sites, where key activities are being performed shall as a minimum be in accordance with **Table 1**.

6.2 A representative range of different sites will be selected without excluding the random element of sampling. The sample will be selected over the period of validity of the certificate to cover all sites from where key activities are performed and will take into consideration the following:

- a) The main office and the geographical spread of its activities.
- b) The number, range, size, complexity and location of sites.
- c) The degree of central office's involvement in the management of the sites (structure of the quality system).
- d) The results of internal audits from main office and sites.
- e) The results of management reviews.
- f) Complexity of the management system.
- g) Variations in working practices including, where applicable, equipment and methods used.
- h) Variations in activities undertaken, e.g. fields of inspection/testing/calibration/ certification, etc., types of inspection/testing/calibration/certification.
- i) Where applicable, the level of performance over the assessment cycle.
- j) Extent of changes within the organization.
- k) The level of confidence which can be placed in performance measures and control systems of the CAB.

7 Sampling of scope of accreditation

7.1 Sampling of a CAB's scope of accreditation shall as a minimum be in accordance with **Table 1**.

7.2 A representative range of different accreditation scope will be selected without excluding the random element of sampling. The sample will be selected over the period of validity of the certificate to cover all the scopes and will take into consideration the following:

- a) The availability of assessment team members with the necessary technical knowledge to cover the desired scope of accreditation during the relevant period.
- b) A representative sample of all the scopes of activities must be assessed at the initial assessment prior to granting accreditation.
- c) The different equipment or methods and an estimation of the amount of time that will be required for each assessment.
- d) A representative sample of all the scopes of activities must be covered at least once within the accreditation cycle.

7.3 For accredited Certification Bodies, MAURITAS shall follow the methodologies outlined in IAF MD 17 and MAURITAS A22 to sample of the scope of accreditation for Quality Management Systems (QMS) for the purpose of witnessing of audits.

In the context of Food Safety Management System (FSMS) accreditation, MAURITAS shall apply sampling methodologies described in IAF MD 16 and MAURITAS A22 for the purpose of witnessing of audits.

For Information Security Management System (ISMS) accreditation, at least one audit based on ISO/IEC 27001 shall be witnessed for each yearly assessment. The sampling of certified organizations to be witnessed shall follow the methodologies outlined in IAF MD 17 and MAURITAS A22

8 Sampling of personnel

8.1 Sampling of personnel shall as a minimum be in accordance with **Table 1**.

8.2 A representative range of different technical staff performing key activities will be selected without excluding the random element of sampling. The sample will be selected over the period of validity of the certificate to cover the technical staff to be assessed and will take into consideration the following:

- a) The fields and types of activities covered on the accreditation schedule.
- b) The CABs procedures for selecting, training, authorizing and monitoring of the staff who carry out these key activities, including the qualifications and experience required for different fields and types of activities.
- c) Skills needed by auditor/inspector/calibration technician/phlebotomist, etc.;
- d) Variety of products, services, processes and plants covered by the activities;
- e) The internal auditing arrangements of the CAB.
- f) The locations from which the staff operate;
- g) Any statutory requirements.
- h) Where required by the standard, the extent to which the staff are required to exercise professional judgment.
- i) Effectiveness of the CAB's previous witnessing activities.

8.3 A representative sample of the technical staff performing key activities will be assessed during an assessment cycle.

8.4 *Example of Technical Staff:*

For Laboratories:

- Technical Signatories
- Analysts/Technicians authorised to perform accredited parameters (tests/calibrations)

For Management System Certification Bodies:

- Team Leaders and auditors

For Product Certification Bodies:

- Lead auditors, auditors, lead inspectors and inspectors

8.5 If an on-site activity is not available a simulation/talk-through and vertical assessment (for laboratories only) may be considered. When deciding on which personnel to be assessed, consideration will be given to the following:

- a) New recruits or new authorizations;
- b) Qualifications and experience;
- c) Location;
- d) Any statutory requirements; and
- e) Where required by the standard, the extent to which the staff are required to exercise professional judgment;

TABLE 1

Determination of the sample sizes for sites, personnel and scopes of accreditation over the period of validity of the certificate

Type of assessment	Sampling percentage & Area								
	Sites (Satellite or Branch offices) where key activities are performed		Scope/Field		Personnel (Technical Staff)				
Assessment	100% of main offices, including the following number of sites: Minimum number of Sites for each Assessment (MSS) = $0.8\sqrt{n}$ rounded off to the next whole number, where n represents the number of sites		A. Scope of accreditation/Field/Discipline/ Scheme (e.g. Chemistry, Microbiology, Mass Metrology, QMS*) 100% B. Within A above: Tests/ Inspection/ witness audit/ measured quantity or Instrument Minimum of 15% depending upon associated risk		Pers = $0.6\sqrt{n}$ where n represents the number of technical staff				
						n	MSS	n	MSS
						1	1	15	4
						2	2	25	4
						4	2	30	5
						6	2	50	6
10	3	100	8						
Re-assessment	100% sites However experiences gained during the previous assessment shall be taken into account when determining the final percentage to be assessed		A. Scope of accreditation/Field/Discipline/ Scheme (e.g. Chemistry, Microbiology, Mass Metrology, QMS) 100% B. Within A above: Tests/ Inspection/ witness audit /measured quantity or Instrument Subject to the past performance of the Facility, a minimum of 30%		Pers = $0.8\sqrt{n}$ where n represents the number of technical staff				

*For management system certification bodies, sampling as per IAF MD documents shall take precedence over MAURITAS A24

9 Risk

9.1 MAURITAS may increase the sample size depending on the risks identified. The type of risks may include the following:

- a) Operating in a region or country that MAURITAS has identified as representing a significant risk area in terms of maintaining accreditation requirements or in terms of political or safety reasons;
- b) Formal complaint under investigation by MAURITAS;
- c) History of poorly managed compliance to accreditation requirements;
- d) Has revised its key activities performed at sites;
- e) Weak implementation of corrective actions throughout an organization including their sites;
- f) Technical staff turnover at the accredited CAB;
- g) Inability to cover part of the scope due to extraordinary circumstances (example: pandemic, riots, flooding, etc) during a planned assessment
- h) High complexity of processes e.g comprehensive testing protocols for a certain product
- i) Results of the office assessment, current accreditations held, process-related risks
- j) Conformity assessment activities being carried out by the CAB
- k) Number and criticality of the users of the accredited services of the CAB.

9.2 MAURITAS may decrease the sample size depending on the risks identified. The type of risks may include the following:

- a) Good performance in previous assessments;
- b) Continued stability in the system;
- c) Multiple accreditation by other ILAC/IAF Signatories;

Appendix A: Amendment Table

SN	Section	Amendment