Schweizerische Eidgenossenschaft
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Swiss Confederation

Federal Department of Economic Affairs,
Education and Research EAER

State Secretariat for Economic Affairs SECO
Swiss Accreditation Service SAS

Unclassified

Addendum to SAS document 741 for the accreditation of certification bodies

Document No. 509.ew

CONTENT

1. Introduction

This document contains SAS specifications for the implementation of requirements of the applicable standards for the accreditation of certification bodies and additional EA and IAF specifications and relevant guiding principles.

They supplement the SAS specifications in documents 707 «Rights and obligations in the context of accreditation» and 741 «Cooperation between SAS and applicant in the context of accreditation», particularly for certification bodies. Certification bodies operating in legislated sectors are subject to additional requirements, which are stated in SAS document 729 as well as the corresponding legal bases and technically harmonised standards. For these certification bodies, the focus is even more strongly on the professional and technical competences of personnel.

This document was prepared in cooperation with stakeholder groups, represented by the Certification Sector Committee.

2. Scope

This document is binding for the accreditation of certification bodies for management systems, certification bodies for persons and certification bodies for products, processes and services in accordance with the ISO/IEC 17000 standards (see section 3 and/or Annex 01 to this document).

3. Normative references

International standards and Technical Specifications (TS) as well as EA and IAF specifications in their published documents and resolutions applicable to the accreditation of certification bodies are listed in Annex 01 to this document. For information purposes, this annex also contains relevant standards and specifications which the accreditation services must conform with when accrediting certification bodies.

All of these documents apply in their original English versions and are not translated by the SAS into the Swiss national languages.

4. Definitions and abbreviations

The definitions of standards SN EN ISO/IEC 17000 and SN EN ISO 9000 as well as the international standards for the accreditation of certification bodies apply (see Annex 01 to this document). The following definitions and abbreviations are also used in this document:

Abbreviation	Meaning (URL)
AccDO	Accreditation and Designation Ordinance (SR 946.512)
Accreditation standard	International standards normative to the accreditation of certification bodies (in accordance with AccDO, Annex 2)
Certification program	Normative basis containing the requirements criteria for the objects to be certified (management systems, persons, products, processes and services)
Certification system	Procedure of the certification body for performing a certification for one or several certification programs. *Note:* *A certification system containing only one certification program may be identical to this certification program.*
EA	European Co-operation for Accreditation (www.european-accreditation.org)
EMS	Environmental management system
IAF	International Accreditation Forum (www.iaf.nu)
LA	Lead Assessor
MLA	Multilateral Recognition Agreement (treaty on the mutual recognition of conformity assessments)
MS	Management system
OSHP	Occupational safety and health protection
QMS	Quality management system
SAS	Swiss Accreditation Service SAS (www.sas.admin.ch)
TS	Technical Specification

5. Principles

Conformity with normative accreditation requirements and underlying quality assurance principles is important for creating trust in, and recognition of, the certifications issued under the accreditation.

The following principles form the basis for the information contained in this document. These principles should also be used as a guideline for decisions that may have to be made in unexpected situations.

- Responsibility:
  Certification bodies are responsible for conforming with the accreditation requirements and must also be able to prove this. The SAS assesses the manner in which the certification bodies fulfil this responsibility. The certification bodies therefore must create the required transparency when dealing with the SAS to ensure that the latter is able to perform its controlling activities in compliance with the accreditation specifications which apply to it.

- Focus on minimum requirements:
  The accreditation requirements are specified in the applicable standards, international regulations and - wherever relevant - law and must be implemented. The information stated in this document reflects these requirements.

6. General regulations for certification bodies

6.1 Application for accreditation

6.1.1 Requirements:
The SAS only responds to an application for accreditation (initial accreditation, renewal or extension of an accreditation or change to revised normative bases) of a certification body if the requested certification program has been approved by the SAS for application under the accreditation. The SAS differentiates between normative and/or legal programs and private programs. Per definition, the former are classed as «suitable for accreditation» if they form a suitable basis for certification. All other certification programs must be assessed for their suitability for application under the accreditation and explicitly approved for this purpose by the SAS.

6.1.2 Application:
An application for accreditation must always be submitted to the SAS via the corresponding form on the SAS website (www.sas.admin.ch). Applications for a change to revised normative bases must be submitted on the form for expanded accreditations. If a certification body is already accredited for the previous version of a normative basis, it must conform with the rules published by the SAS for amendment to the new version.

The certification body must notify the SAS in writing if it wishes to reduce or discontinue the accreditation.

6.2 Accreditation scope

6.2.1 The accreditation scope is specified by the SAS.

6.2.2 Various sectors require an itemisation of the scope of certification bodies (e.g. QMS, EMS and OSHP in accordance with the list of accreditation scopes stated in the annex to document IAF ID1). In these cases, the certification body must inform the SAS in its application for accreditation in which sub-sectors it will be operating under the accreditation. The certification body must submit the list of auditors and experts as well as persons responsible for evaluating and deciding about certification applications, organised by these sub-sectors, to the SAS (see Annexes 02 and 04, documents and information to be submitted).

6.2.3 If a certification body cannot provide evidence of auditing / evaluation and certification activities in some parts of the scope of its accreditation, the SAS assesses the future suitability and/or practicability of the certification body's competence requirements and decides on the required measures. The affected part of the scope is discontinued no later than when the accreditation is re-issued. It may also be discontinued earlier if requested by the responsible LA.

6.3 References to accreditations and use of the accreditation stamp and IAF-MLA stamp

6.3.1 A certification can only be recognised under the accreditation if the accreditation stamp is placed correctly on the certification documents and/or certificates, i.e. in accordance with the specifications of SAS documents 707 and 739.

6.3.2 SAS document 525 «Leaflet on the use of the IAF-MLA stamp within the scope of the Licence Agreement» contains tips on the use of this stamp.

7. Specific regulations for certification bodies for persons

The regulations in SAS documents 707 «Rights and obligations in the context of accreditation» and 741 «Cooperation between SAS and applicant in the context of accreditation», apply.

Sections 9.3 (Requirements regarding the competences of certification personnel) and 9.6 (Certification process / accompanied audits on site) of this document apply in the same sense to certification bodies for persons.

8. Specific regulations for certification bodies for products, processes and services

The regulations in SAS documents 707 «Rights and obligations in the context of accreditation» and 741 «Cooperation between SAS and applicant in the context of accreditation», apply.

Sections 9.3 (Requirements regarding the competences of certification personnel) and 9.6 (Certification process / accompanied audits on site) of this document apply in the same sense to certification bodies for products, processes and services.

9. Specific regulations for certification bodies for management systems

9.1 General

9.1.1 The quality of audits and certifications is primarily determined by the following three factors:

- Competences of the personnel,
- Appropriateness of the audit duration,
- Significance of the audit report (and any other documents linked to the report).

These regulations specifically account for these factors:

9.1.2 A certification may only be issued if evidence can be provided that the audited management system conforms with the requirements of the certification program, that it meets the requirements (size, type and scope of activities, etc.) of the audited organisation and that it is effective (with regard to the intended results of the management system regarding the requirements of the underlying requirements).

9.2 Documents and information to be submitted to the SAS

The SAS requires specific documents and information for planning and implementing its assessments in the premises of the certification body and for accompanied audits. These must be submitted to the SAS in electronic and structured form no later than two months before the evaluation and/or accompaniment of an audit, unless otherwise agreed with the responsible LA. Annexes 02, 03 and 04 to this document contain lists of the documents and information to be submitted. The SAS may request additional documents and information as and when required.

9.3 Requirements regarding the competences of the certification personnel

9.3.1 The SAS assesses the competences of the certification personnel during the evaluation in the premises of the certification body. The focus is on processes which serve to ensure and document that the competences of the personnel are adequate. The SAS further assesses the professional competences when accompanying audits or other certification activities with the focus being on the targets specified in document IAF MD 17, section 2.1.

9.3.2 As a tool for determining professional competences in the areas of quality, environment and occupational health and safety, the SAS published the «SAS: Relevanzmatrix Fachwissen» (SAS: Relevance Matrix Professional Knowledge) on its website (https://www.sas.admin.ch/sas/de/home/ueberuns/seko/zertifizierung/info.html). This matrix is based on the accreditation scopes stated in the annex to document IAF ID1.

9.4 Certification process / requirements for determining the audit duration

The SAS assesses the determination of the audit duration and if the method is reliable and applied systematically. If the conformity assessment body uses automated or semi-automated procedures to calculate the audit time, it shall demonstrate the correctness and reliability of the procedure by means of a validation of the procedure. When accompanying audits, the SAS is able to assess if the determined and applied audit duration was appropriate and the audit objective achieved.

9.5 Certification process / monitoring and re-certification audits

Re-certification audits must be performed in good time before the expiry of the certification to ensure a seamless renewal of the certification. Retrospective issuance of a certification is impermissible as a certification’s effective date must not fall before the date of the certification decision. Backdated decisions are also not permitted.

9.6 Certification process / accompanied audits on site

The SAS must conform with specifications such as those stated in documents IAF MD 17 (see Annex 01 to this document) when accompanying audits of the certification body on site (often also called accompanied audit, witnessing or witness audit). Specific scopes may be subject to further specifications that must be taken into consideration (e.g. EA-7/04 for EMS). The accreditation services therefore must accompany accredited activities on site.

The accreditation services have various instruments at their disposal for assessing the certification bodies (see IAF MD 17, 2.2):

- Evaluations in the premises of the certification body;
- Accompanied audits on site (witness audits);
- Other evaluation activities based on the requirements identified by the SAS. These include, for example, visiting certified customers of the certification body if there is doubt about the effectiveness of the MS certified by the latter, as described in document IAF ID4.

The most comprehensive of these instruments are accompanied audits of the certification body on site. In compliance with the specifications, the SAS selects the optimal combination of instruments for assessing the competences of the certification body in the most efficient manner possible.

9.6.1 Purpose of accompanied audits

9.6.1.1 The SAS accompanies the audits of certification bodies at its customers with the aim of

- verifying the effectiveness of the programs and methods of the certification body on site (particularly with regard to the selection of the audit team and allocation of tasks);
- assessing the auditors with regard to
  1) the correct application of the certification body's methods and
  2) the correct approach to certification criteria, requirements of standard ISO/IEC 17021-1, binding EA and IAF regulations and any sector-specific legal and technical requirements;
- assessing the competence of the certification body and its personnel throughout the entire scope of the accreditation.

9.6.2 Rules for accompanied audits

9.6.2.1 The accompanied audits performed by the SAS (or one of its subcontracting accreditation services) must form part of the certification agreement between the certification body and its customers.

9.6.2.2 The certification body has the following obligations:
- The SAS decides which on-site audits in which certification sectors and geographical regions are to be accompanied.
- The certification bodies must notify the SAS of all audits that can be accompanied (see section 9.6.3.2 below).

9.6.2.3 The SAS usually accompanies an audit for its full duration. If plans are to do otherwise, the certification body must specify binding aspects of standards to be audited during the part accompanied by the SAS and state these in the audit plan. Any deviation from this audit plan may result in a non-conformity.

9.6.2.4 In the case of extraordinary events (IAF ID3), witness audits may only be carried out as remote assessments if the CAB itself carries out remote audits (all taking into account IAF MD 4, use of ICT). A remote assessment of an on-site audit is generally not allowed.

9.6.2.5 When accompanying an audit, the SAS also evaluates the audit report and, for initial and re-certifications, additionally the certification decision (including the information and documents referred to for making the decision).

9.6.2.6 In the event of a customer rejecting an accompanied audit by the SAS without being able to give any valid reasons, the certification body must revoke and/or refuse this customer's certificate in accordance with IAF MD 17, 2.4.2. Failure to do so may result in the certification body being sanctioned by the SAS. The certification body therefore has to include corresponding provisions in its customer agreements. The certification body is responsible for ensuring that the affected customers are notified about the planned accompanied audit by the SAS.

9.6.2.7 In the event of the certification body refusing or impeding the accompanied audit by the SAS without being able to give any valid reasons, the SAS may revoke the certification body's accreditation for the respective certification scope.

9.6.2.8 The audit team originally defined by the certification body may not be changed without justification after the SAS has announced that it will accompany an audit (IAF MD 17, 2.4.6)

9.6.3 Selecting the audits to be accompanied

9.6.3.1 When determining the number of audits to be accompanied, the SAS conforms with the specifications, such as those stated in documents IAF MD 17 and further information. The SAS aims to inform the certification bodies as early as possible about the certification scopes in which it plans to monitor audits.

9.6.3.2 The certification body must provide the SAS with the information specified in Annex 03 to this document for planning the audits to be accompanied.

9.6.3.3 As part of the assessment planning process, the SAS determines which type of assessment (assessment in the certification body's premises, accompaniment of audits) should be carried out at which time for which technical and geographical parts of the scope for each accredited body. The following factors are included in this planning process:

- Performance indicators of the certification body (based on the factors in accordance with SAS document 529);
- Knowledge of, and experiences with, the certification body (in accordance with the factors defined in IAF MD 17, 2.3.3).

9.6.3.4 The SAS usually accompanies initial certification audits (Levels 1 and 2, or at least Level 2) or re-certification audits. The certification bodies may propose combination audits for several certification standards to the SAS.

9.6.3.5 For audits accompanied by the SAS, the audit team usually has to be available to the SAS assessment team for half an hour before and one and a half hours after the audit (without the certification body's customer being present). The SAS assessment team must also be able to monitor the audit team's meetings. The time and place of these meetings therefore have to be disclosed. Any meeting of the audit team before the commencement of an audit counts as part of the audit in this respect.

9.6.4 Documents and information for accompanied audits

The documents and information required by the SAS for performing accompanied audits are listed in Annex 04 to this document. These must be submitted to the SAS in electronic and structured form no later than two months before the accompanied audit, unless otherwise agreed with the responsible LA.

9.6.5 Accompanying and completing the accompaniment of audits

When performing an audit, the SAS focuses on the criteria in accordance with IAF MD 17, 2.4 (General Instructions) and 3.1.3. (Assessment criteria for which a statement must be included in the assessment report). As for the rest, the general rules in accordance with SAS document 741, sections 5.7.2 and 5.7.3, apply.

10. Annexes

Annex 01: Standards and international specifications for the accreditation of certification bodies

Annex 02: Documents and information to be submitted to the SAS for assessments in the premises of the certification body

Annex 03: Information to be provided by the certification body to the SAS for planning the audits to be accompanied

Annex 04: Documents and information to be submitted to the SAS for accompanied audits on site

11. Changes of this version

- Adaption of 2 months for submittal of documentation (as in SAS document 741)

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Annex 01

Standards and international specifications for the accreditation of certification bodies

The following listings of the applicable standards and documents reflect the situation as at the date of approval of this document and should not be regarded as conclusive. The versions of the documents available from the websites of the corresponding organisations apply at all times. The following lists do not contain the resolutions of the EA and IAF applicable to the accreditation of certification bodies. They can be found on the websites of the corresponding organisations.

- Swiss Association for Standardization (SNV):
  http://www.snv.ch/
- European co-operation for Accreditation (EA):
  http://www.european-accreditation.org/publications
- International Accreditation Forum (IAF):
  http://www.iaf.nu//articles/Publications/6

All of these documents apply in their original English versions and are not translated by the SAS into the Swiss national languages. All accredited certification bodies are responsible to obtain the valid versions of these documents at all times and to comply with the rules and regulations stated therein.

The «Requirements for accreditation services for the accreditation of certification bodies» section lists relevant standards and documents that the SAS must comply with and/or obtain when accrediting certification bodies. This list serves only as information.

All other SAS documents not explicitly mentioned here, which are valid for different certification scopes, keep their applicability. They can be accessed through the following link: https://www.sas.admin.ch/sas/de/home/ablaufakkreditierung/dokumente.html).

Certification bodies for management systems

Document no.	Title of the document
ISO/IEC 17000	Conformity Assessment - Vocabulary and general principles
ISO/IEC 17007	Conformity assessment - Guidance for drafting normative documents suitable for use for conformity assessment
ISO/IEC 17021-1 For Switzerland: SN EN ISO/IEC 17021-1	Conformity assessment - Requirements for bodies providing audit and certification of management systems - Part 1: Requirements
ISO/IEC 17021-2	Competence requirements for auditing and certification of environmental management systems
ISO/IEC 17021-3	Competence requirements for auditing and certification of quality management systems

Document no.	Title of the document
ISO/IEC 17021-6	Competence requirements for auditing and certification of business continuity management systems
ISO/IEC 17021-10	Competence requirements for auditing and certification of operational safety and health management systems
ISO/IEC TS 17023	Conformity assessment - Guidelines for determining the duration of management system certification audits
ISO/IEC TS 22003	Food safety management systems - Requirements for bodies providing audit and certification of food safety management systems
ISO/IEC 27006	Information Technology Security Techniques - Requirements for bodies providing audit and certification of information security management systems
ISO/IEC 20000-6	Information technology - Service management - Part 6: Requirements for bodies providing audit and certification of service management systems
ISO 50003	Energy management systems — Requirements for bodies providing audit and certification of energy management systems
IAF MD 1	Certification of Multiple Sites Based on Sampling
IAF MD 2	Transfer of Accredited Certification of Management Systems
IAF MD 4	Use of Information and Communication Technology (ICT) for auditing/assessment purposes
IAF MD 5	Duration of QMS and EMS Audits
IAF MD 9	Application of ISO/IEC 17021 in Medical Device Quality Management System (ISO 13485)
IAF MD 11	Application of ISO/IEC 17021 for Audits of integrated Management Systems
IAF MD 17	Witnessing Activities for the Accreditation of Management Systems Certification Bodies
IAF MD 19	Audit and Certification of a Management System operated by a Multi-Site Organization (where application of site sampling is not appropriate)
IAF MD 22	Application of ISO/IEC 17021-1 for the Certification of Occupational Health and Safety Management Systems
IAF MD 23	Control of Entities Operating on Behalf of Accredited Management Systems Certification Bodies
IAF MD 24	Transition Requirements for ISO 50003: 2021
IAF MD 26	Transition Requirements for ISO/IEC 27001:2022
IAF MD 27	Transition Requirements for ISO 22003-1:2022
IAF MD 28	IAF Mandatory Document for the Upload and Maintenance of Data on IAF Database
EA-6/02 M	Guidelines on the Use of ISO/IEC 17065 and ISO/IEC 17021-1 for Certification to EN ISO 3834

Document no.	Title of the document
EA-7/04 M	Legal Compliance as a part of accredited ISO 14001:2015 certification

Certification bodies for persons

Document no.	Title of the document
ISO/IEC 17000	Conformity Assessment - Vocabulary and general principles
ISO/IEC 17007	Conformity assessment - Guidance for drafting normative documents suitable for use for conformity assessment
ISO/IEC 17024 For Switzerland: SN EN ISO/IEC 17024	Conformity assessment - General requirements for bodies operating certification of persons

Certification bodies for products, processes and services

Document no.	Title of the document
ISO/IEC 17000	Conformity Assessment - Vocabulary and general principles
ISO/IEC 17007	Conformity assessment - Guidance for drafting normative documents suitable for use for conformity assessment
ISO/IEC 17065 For Switzerland: SN EN ISO/IEC 17065	Conformity assessment - Requirements for bodies certifying products, processes and services
ISO/IEC 17067 For Switzerland: SN EN ISO/IEC 17067	Conformity assessment - Fundamentals of product certification and guidelines for product certification schemes
EA-6/02 M	Guidelines on the Use of ISO/IEC 17065 and ISO/IEC 17021-1 for Certification to EN ISO 3834
EA-3/12	EA Policy for the Accreditation of Organic Production Certification

Requirements for accreditation services for the accreditation of certification bodies

Document no.	Title of the document
ISO/IEC 17000	Conformity Assessment - Vocabulary and general principles
ISO/IEC 17007	Conformity assessment - Guidance for drafting normative documents suitable for use for conformity assessment
ISO/IEC 17011 For Switzerland: SN EN ISO/IEC 17011	Conformity assessment - Requirements for bodies providing audit and certification of management systems
IAF/ILAC-A5	IAF/ILAC Multi-Lateral Mutual Recognition Arrangements (Arrangements): Application of ISO/IEC 17011:2004
IAF MD 7	Sanctions to be applied to Conformity Assessment Bodies
IAF MD 8	Application of ISO/IEC 17011 in Medical Device Quality Management System (ISO 13485)
IAF MD 12	Assessment of Certification Activities for Cross Frontier Accreditation

Document no.	Title of the document
IAF MD 13	Knowledge Requirements for Accreditation Body Personnel for Information Security Management Systems (ISO/IEC 27001)
IAF MD 15	Collection of Data to provide Indicators of MS Certification Bodies' Performance
IAF MD 16	Accreditation of Food Safety Management System (FSMS) Certification Bodies
IAF MD 17	Witnessing Activities for the Accreditation of MS Certification Bodies
IAF MD 25	Criteria for Evaluation of Conformity Assessment Schemes
IAF MD 28	IAF Mandatory Document for the Upload and Maintenance of Data on IAF Database
IAF ID1	Informative Document for QMS and EMS Scopes of Accreditation
EA-2/13 M	EA Cross Border Accreditation Policy and Procedure for Cross Border Cooperation between EA Members
EA-2/13 M S1	Interpretation of Terminology used in clause 5.1 and Guidelines to Assessment Focus
EA-1/22 A-AB	EA Procedure and Criteria for the Evaluation of Conformity Assessment Schemes by EA Members

- End of Annex 01 to SAS Document 509 -

Annex 02

Documents and Information to be submitted to the SAS for Assessments in the Premises of the Certification Body

All documents must be submitted to the SAS in electronic and structured form no later than two months before the assessment, unless otherwise agreed with the responsible LA.

No.	Document / information	SAS incoming control
1	Completed reference list SAS Doc. No. 506.	
2 a)	All management system documents stated in the SAS reference list (for initial and renewed accreditations).	
b)	Only the documents relating to the extension / change to be applied for with regard to the extension / change of the accreditation.	
c)	Only new and changed documents for monitoring the accreditation.	
3	The list of certified customers, broken down by certification scope (ISO 9001, ISO 14001 etc.) and countries (for cross-border certifications) for the certification scopes requested by the assessment team.	
4	The list of certification personnel used, broken down by certification scope (ISO 9001, ISO 14001 etc.), function (e.g. competence matrix) and location (where applicable) for the certification scopes requested by the assessment team.	
5	List of all locations (regardless of the types of their activities) in Switzerland and abroad which operate under SAS accreditation, including information on the certification services and/or certification systems provided by each location, the activities performed, and their legal relationship to the certification body.	

- End of Annex 02 to SAS Document 509 -

Annex 03

Information to be provided by the Certification Body to the SAS for Planning the Audits to be accompanied

All documents must be submitted to the SAS in electronic and structured form, unless otherwise agreed with the responsible LA.

No.	Document / information	SAS incoming control
1	Information on the customer to be audited: name and address, including all locations under certification, number of employees, areas of activity	
2	Certified standards, including technical sectors (e.g. EA codes in accordance with IAF ID1 or cluster in accordance with ISO/IEC 22003).	
3	Certificate(s) ID no., if a certification has been issued under, or not under, the accreditation, otherwise the planned certification scope	
4	Duration of certification (effective and expiry date) for existing certified customers.	
5	Audit type: - Initial certification, monitoring, re-certification audit; if combined audit: corresponding standards - Extraordinary audit, such as expansion of the scope, subsequent audit for verifying the correction of non-conformities, investigation of a complaint, etc.	
6	Audit location, date and duration (in days)	
7	Audit team, including Team Leader	

- End of Annex 03 to SAS Document 509 -

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Annex 04

Documents and information to be submitted to the SAS for accompanied audits on site

All documents must be submitted to the SAS in electronic and structured form no later than two months before the audit, unless otherwise agreed with the responsible LA.

Please note:
When determining the audit plan, the certification body has to consider that the audit team usually has to be available to the SAS assessment team for half an hour before and one and a half hours after the audit (without the certification body's customer being present). The SAS assessment team must also be able to monitor the audit team's meetings. The time and place of these meetings therefore have to be announced. Any meeting of the audit team before the commencement of an audit counts as part of the audit in this respect.

No.	Document / information	SAS incoming control
1	Customer details: area of activity, number of locations, including addresses, number of employees, other information important for the planned audit.	
2	Certification agreement; if not obvious from the certification agreement: requested and/or granted certifications, including technical sectors (e.g. IAF codes in accordance with IAF ID1 or cluster in accordance with ISO/IEC 22003); scopes and duration (effective and expiry date) of certification and any existing certificates.	
3	Overview of customer's MS documentation.	
4	Audit program (for the current certification cycle), if not obvious from the certification agreement.	
5	Audit plan and place of the meeting of the assessment team and audit team as well as map, if necessary.	
6	Location and time of audit team meetings, which take place before the audit.	
7	Major focal points planned by the lead auditor for the context of this audit.	
8	Record of the determined audit duration, including reasons for such determination.	
9	Documented conclusions regarding Audit Level 1, if only Audit Level 2 is being accompanied.	

No.	Document / information	SAS incoming control
10	Audit reports for the last three audits.	
11	Confirmation of the approval of all auditors and experts engaged with this audit for the standards and technical sectors for which they have been engaged.	
12	CV (curriculum vitae) of all auditors and experts engaged with this audit.	
13	Report of the last monitoring (on-site assessment by the certification body) of the auditor / auditors involved.	
14	Audit report for the accompanied audit.	
15	Decision of the certification body (only for initial and re-certification audits).	
16	Copy of certificates (current, and if applicable, new certificate).	

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