|  |  |
| --- | --- |
|  | ***prOCEDure No 24 Issue 5*** |

**ISSUE & WITHDRAWAL OF CERTIFICATES OF APPROVAL**

Copyright reserved. This document is confidential and is the property of:

SN Registrars (Holdings) Ltd. It is not to be loaned, copied or used, either in part or in its entirety without written approval of the SNR Scheme Manager.

|  |  |  |
| --- | --- | --- |
| originator: | checked on behalf of the governing board davidSignature | approved by: |

**CONTENTS**

1 Purpose 3

2 Scope 3

3 References 3

4 Definitions 3

5 Procedure 3

 5.1 Lead Auditors approval/rejection of certification 3

 5.1.1 ISO9001 QMS 3

 5.1.2 ISO14001 EMS 4

 5.1.3 BS OHSAS 18001 (non accredited) 4

 5.2 Review of Lead Auditors recommendations 6

 5.3 Governing Boards review and approval 6

* + 1. Decision taken in relation to certification

Function 6

 5.4 Issue of certificates 7

 5.5 Suspension and cancellation of Certificates 7

 5.6 Non accredited certificates 8

 5.7 Cancellation of certificate by client 8

 6 Quality Records 7

**1 Purpose**

 To ensure that SN Registrars Certificates of Approval are:

 correctly approved and issued when the organisation/site demonstrates compliance with the relevant standard through the certification audit process.

 correctly withdrawn when the organisation/site is found no longer to comply with the relevant standard for any element of the standard.

 the certificated client complies with the conditions governing the use of the Certificate of the relevant standard and SSiP and/or Approval and the mark/symbol of the Certification Body.

**2 Scope**

 All Certificates approved and issued by the Certification Body.

**3 References**

 ISO 17021

 TPS65

**4 Definitions**

SSiP The Safety Schemes In Procurement (only UK)

**5 Procedure**

**5.1 Lead Auditors approval/rejection of certification**

 For each certification audit and re-audit the Lead Auditor shall submit to the certification body as part of the audit report the certification recommendation for recommendation or rejection for certification or recertification. The Lead Auditors recommendation shall be based upon the auditees Management System meeting the following criteria:

**5.1.1** **QMS & BCM & ISMS Management Systems:**

 For a recommendation to certificate an operator with a newly introduced or re-audited quality management system, the following degree of development or maintenance must have been achieved;

i) To be certified an organisation has to demonstrate that the management system functions and the various control mechanisms are properly operational. In practice this means in particular that:

 the management system has been operational for a minimum of three months;

 the internal audit system is fully operational and can be shown to be effective;

 one management review has been conducted.

ii) A certificate can only be issued or re-issued if, in particular:

 any non conformities identified have been addressed and any major non conformities have been eliminated;

 the certification body has justified confidence that all provisions in the standard have been met, and in particular that provision for compliance with the organisation's policy objectives and quality requirements is effective.

 all staff have been made aware of the organisation's policy objectives and quality requirements.

 all key staff (those involved in managing quality requirements) have undersigned a training needs analysis, and have received training accordingly.

**5.1.2 ISO 14001 Environmental Management System (EMS):**

 For a recommendation to certificate an operator with a newly introduced environmental management system, the following degree of development must have been achieved;

i) To be certified an organisation has to demonstrate that the EMS functions and the various control mechanisms are properly operational. In practice this means in particular that:

 the EMS has been operational for a minimum of three months;

 the internal audit system is fully operational and can be shown to be effective;

 one management review has been conducted.

ii) An EMS certificate can only be issued if, in particular:

 any non conformities identified have been addressed and any major non conformities have been eliminated;

 the certification body has justified confidence that all provisions in the EMS standard have been met, and in particular that provision for compliance with the organisation's policy objectives including regulatory requirements is effective.

 the principle of 'continuous improvement' of environmental performance has been made concrete in an environmental programme and is being adhered to.

 all staff have been made aware of the organisation's environmental effects, objectives, and the system.

 all key staff (those involved in managing significant effects) have undersigned a training needs analysis, and have received training accordingly.

**5.1.2 BS OHSAS18001 Occupational Health and safety Management System and SSiP**

 For a recommendation to certificate an operator with a newly introduced OHSAS management system, the following degree of development must have been achieved;

i) To be certified an organisation has to demonstrate that the OHSAS functions and the various control mechanisms are properly operational. In practice this means in particular that:

 the OHSAS has been operational for a minimum of three months;

 the internal audit system is fully operational and can be shown to be effective;

 one management review has been conducted.

ii) An OHSAS certificate can only be issued if, in particular:

 any non conformities identified have been addressed and any major non conformities have been eliminated;

 the certification body has justified confidence that all provisions in the OH&S standard have been met, and in particular that provision for compliance with the organisation's policy objectives including regulatory requirements is effective.

 the principle of 'continual improvement' of OHSAS performance has been made concrete in an OHSAS programme and is being adhered to.

 all staff have been made aware of the organisation's OHSAS objectives, and the system.

 all key staff (those involved in managing objectives) have undersigned a training needs analysis, and have received training accordingly.

 clients who operate on OHSAS EA28 sector and have applied SSiP certification

 must meet core criteria requirements.

**5.2 Review of Lead Auditors recommendations**

The SN REGISTRARS Scheme manager shall Review the lead lead auditors report and associated material along with the reasons for recommendation/rejection certification of a client, sign (eCMS) for agreement of approval or rejection to the certification committee for them to endorse. A Peer Review may be required if the scheme manager does not have the scope approval for the certification.

* 1. **Governing Board Review and Approval**

The Governinng Board has authorized the SN REGISTRARS Scheme manager as the approver for certifications conducted by overseas Agents where he is scope approved, peer approval may be needed for other scopes.

For certification conducted by overseas agents (see Proc 26) the SN REGISTRARS Scheme manager of SN Registrars shall peer review, approve and issue certificates subject to the results of the Peer Review.

**5.3.1 Decision Taking in Relation to the Certification Function**

The certification approver/committee, which takes the decision on granting/withdrawing a certificate within the certification body, should incorporate a level of knowledge and experience in all areas, other than audit experience, which is equivalent to that of the lead auditor enabling a decision to be made based on the review of objective evidence in the audit file.

 The certification approver /committee shall review each certification audits or re-audit process, the reports, any relevant material and endorse the recommendation for approval or rejection. The approver (committee) shall grant approval for a certificate of Approval providing that:

 the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification;

 for any major nonconformities, it has reviewed, accepted and verified the correction and corrective actions;

 for any minor nonconformities it has reviewed and accepted the client’s plan for correction and corrective action.

The approvals pack will contain copies of (eCMS)

* Application
* Contract review
* Document review

 Auditor appointment

* Audit report

 CARs (corrective action requests)

 Certification recommendation.

*If the certification body is not able to verify the implementation of corrections and corrective actions of any major nonconformity within 6 months after the last day of stage 2, the certification body shall conduct another stage 2 prior to recommending certification.*

The first three-year certification cycle begins with the certification decision. Subsequent cycles begin with the recertification decision.

*When recertification activities are successfully completed prior to the expiry date of the existing certification, the expiry date of the new certification can be based on the expiry date of the existing certification. The issue date on a new certificate shall be on or after the recertification decision.*

*Following expiration of certification, the certification body can restore certification within 6 months provided that the outstanding recertification activities are completed, otherwise at least a stage 2 shall be conducted. The effective date on the certificate shall be on or after the recertification decision and the expiry date shall be based on prior certification cycle.*

**Process of approval of certifications in EA28 are in compliance with RT 05 (Italy only)**

**Process of approval of OHSAS EA28 certifications are in compliance with SSiP requirements**

**(UK only)**

Decisions on granting, suspending, withdrawing or reducing certification shall be taken just after positive response of Technical reviewer for EA 28/SSiP. In an emergency, decisions can be taken by another lead auditor who has certified competences in EA 28/SSiP by a third party body, except that within 30 days the file is reviewed by the Technical Reviewer.

**5.4 Issue of Certificates**

 Upon approval being granted by the approver /committee, the SN REGISTRARS shall verify the clients details including the audit scope of supply and prepare the Certificate of Approval which is checked by the SN REGISTRARS Scheme manager. The SN REGISTRARS Scheme manager shall sign the certificate for authorisation.

 Each Certificate shall carry a unique identification number. Details of each certificate used, cancelled or destroyed shall be recorded in a Certificate Register (eCMS).

 The SN REGISTRARS shall update the Client file and then contact the client about any arrangements for the delivery of the certificate and any presentations required by the certification body.

 The SN REGISTRARS shall send a controlled copy of the Conditions for the use of logo FMP24/02 to the approved certified client.

 A copy of the Certificate shall be retained on the Clients file.

 An electronic image of the Certification Body mark/symbol shall be forwarded to the client on issue of the certificate.

**5.5 Suspending, withdrawing or reducing of the scope of certification**

*The certification body shall suspend certification in cases when, for example:*

* *the client’s certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system;*
* *the certified client does not allow surveillance or recertification audits to be conducted at the required frequencies;*
* *the certified client has voluntarily requested a suspension.*

 If the Client/certificate holder fails to maintain compliance with the requirements of management system(s), those requirements detailed in Certification Conditions Document form P24/02 and those commercial and operating requirements of the certification body then:

* The client/certificate holder is formally informed in writing about the failure of compliance to the above conditions and asked to detail corrective action. The copy of the letter is to be uploaded to eCMS.
* If the client refuses to respond to correct the failure of non-compliance to the above conditions then the SN REGISTRARS Scheme manager shall inform the client by the letter that the certificate may be suspended initially for 6 months and after 6 months the client is informed that the certificate is cancelled and would the client return the certificates and cease to use and distribute any literature, stationary, etc., referencing the certificate of Certification Body mark/symbol. The copies of the letters are to be uploaded to eCMS and client inactivation request sent to SN Registrars UK.

*Under suspension, the client’s management system certification is temporarily invalid.*

*SN Registrars shall restore the suspended certification if the issue that has resulted in the suspension has been resolved. Failure to resolve the issues that have resulted in the suspension in a time established by the certification body shall result in withdrawal or reduction of the scope of certification.*

*SN Registrars shall reduce the scope of certification to exclude the parts not meeting the requirements, when the certified client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification. Any such reduction shall be in line with the requirements of the standard used for certification.*

* 1. **Non-accredited certificates**

SN Registrars shall not issue any non-accredited certificates in the scopes for which they hold UKAS accreditation. Where accreditation only covers part of an EA scope (i.e. limited scope) then SN Registrars can issue non-accredited certificates for activities falling outside of the limitation.

Non-accredited certificates can be issued for new scope areas where SN Registrars is working towards accreditation. However, once the accreditation is granted, SN Registrars is required to take appropriate action to transfer the previously issued non-accredited certificates to accredited ones within 30 days. These actions may require SN Registrars to carry out a review and additional validation activities of each certificate before confirming its accredited status.

Certificates issued for non-accredited audits shall not carry the Tick & Crown or SSiP logo (OHSAS EA28, UK only). The client shall be told that it is a non accredited audit and that the certificate will not carry the Tick & Crown or SSiP logo (OHSAS EA28, UK only).

* 1. When a client does not want to continue their certification with SN Registrars (due to client’s cancellation or transfer) the termination clause in the contract (FMP21/1) is followed. Where possible the reason for non-continuouation is requested from the client. Cancellation letter and reason are updated in eCMS client details and request to inactivate the client is sent to SN Registrars UK.

**6 Quality Records**

|  |  |  |  |
| --- | --- | --- | --- |
| **Quality Record Number**  | **Quality Record Title** | **Type of File** | **Retention Time** |
|  | Certificate of Environmental Approval  | With Client  | 3 years |
|  | Certificate of Quality Approval | With client | 3 years |
|  | Certificate of ISMS Approval | With Client | 3 years |
|  | Certificate of OH&S approval  | With client | 3 years |
|  | Certificate of BCM Approval | With client | 3 years |
| eCMS | Certified Suppliers List |  Operations computer file | Current & Previous Issue |
| FMP24/01 | Certificate issue letter | With client | 3 years |
| FMP24/02 | ISO 9001 Certification ConditionsISO 14001 Environmental Certification ConditionsISMS Certification ConditionsOHSAS 18001 Certification Conditions | With Client  | 3 years |
| FMP24/03a | Letter of suspension | With client | 3 years |
| FMP 24/03b | Letter of cancellation  | With Client | 3 years |
| FMP 24/06 | Mark and logo use by SNR Offices& Agents | With offices & agents | On going |