Documented Management System

Auditee Handbook

3.04

Issue 8

30th August 2021

Table of Contents

1. Document control 4
1.1 Control 4
1.2 Circulation 4
1.3 Approval 4
1.4 Version history 4
2. Introduction 5
2.1 Summary and Purpose 5
2.2 Scope and Applicability 5
3. Introduction to System Certification Services Ltd. 5
3.1 Organisational Overview of the Certification Body 7
3.2 The Company and the Certification Body 8
4. The Audit and Certification Process 8
4.1 Step 1 - Pre-Audit 8
4.2 Step 2 - Audit Planning 9
4.4 Step 4 - Initial Audit 9
4.5 Step 5 - Clear Down Corrective Actions 10
4.6 Step 6 – Certification 10
4.7 Step 7 - Surveillance 11
3.8 Step 8 - Further Audit 11
3.9 Step 9 - Reassessment 11
4.10 Determining period between stages and Back to Back Audits 11
5. Certification Guidelines 12
5.1 Scope 12
5.2 Definition of Organisation 12
5.3 Supplies outside the Certificated System 13
5.4 UKAS Accreditation 13
5.5 Effects on the Environment 13
5.6 Meeting Legal Requirements 13
5.7 Policy as to when Certification Services shall be available 13
5.8 Complaints and Complaint Records 13
5.9 Suspension, withdrawal and Cancellation of Certificates 14
5.10 Statement of Impartiality 14
6. Complaints and Appeals 15
7. Accredited Scope 15
8. Rules governing the use of the Certification Mark etc. 15
9. Pricing Guide 16

9.1 ISO 9001 17
9.2 ISO 14001 17
9.3 Combined Audits 18
9.4 Clear-down of Corrective Actions 19
9.5 Certification Fee 19
9.6 Surveillance 19
9.7 Further Audits 19
9.8 Recertification 19
9.9 Multi-site Organisations 20
10. Terms and Conditions 20
10.1 Definitions 21
10.2 Licence to use the Certification Mark and Certificate 21
10.3 Services to be provided by SCS 21
10.4 Confidentiality 22
10.5 Openness 22
10.6 Duties of the Auditee 22
10.7 Duties of the Client 23
10.8 Fees 23
10.9 Postponement and Cancellation 23
10.10 Termination of the Agreement 24
10.11 Related Documents 24
10.12 Limitation of Liability and Indemnity 24
11. Audit Application Questionnaire 24

1. Document control

1.1 Control

Control of this document is in accordance with Documentation Control Procedure 2.11. The General Manager shall maintain a history of all amendments on a change register. The latest date and issue of this manual shall appear on the front cover and document reference and revision number is identified at the top of each page. The content and currency of this Policy document is the responsibility of the General Manager.

1.2 Circulation

A hard copy of this Document is held as a master copy back up and all staff can view this document in head office when required. An electronic copy is also available on the server and publicly accessible on the Company website

1.3 Approval

Prior to the implementation of any documented process or operational procedure, the formal document will be subject to review to ensure that the commitments and process steps detailed are achievable and realistic, whilst linked to Policies and Objectives. Once reviewed and approved, the version history at 1.4 will be updated to signify the approval, and requisite authority of the approval.

1.4 Version history

Version	Author	Date released	Approved by	Date approved	Change overview
1	Tony Duff	01.05.2015	Tony Duff	01.05.2015	First Issue
2	Tony Duff	01.03.2016	Tony Duff	01.03.2016	Multiple minor in response to ISO17021:2015 etc review
3	Tony Duff	01.06.2016	Tony Duff	01.06.2016	Changes ref Certification secretary appointment
4	Tony Duff	28.04.2017	Jim Speirs	01.05.2017	Reflect accreditation
5	Tony Duff	01.03.2018	Jim Speirs	22.10.2018	45001/MD22 update
6	Tony Duff	07.02.2020	Jim Speirs	01.06.2020	Section 5 updated ref cancellation & associated fees
7	Tony Duff	20.04.2021	Jim Speirs	20.04.2021	Section 9.5 updated regarding fees
8	Tony Duff	30.08.2021	Jim Speirs	30.08.2021	Ref to 18001 removed from section 8, 9.2 & 10 whilst sec 8 updated with new marks ref UKAS update

2. Introduction

2.1 Summary and Purpose

This document is to provide potential clients and auditees with some of the information they need before they place an order with SCS for assessment services. Much of the information is intended to be the basis of the contract between the client and SCS.

2.2 Scope and Applicability

This document applies to all the Certification activities undertaken by System Certification Services Ltd.

3. Introduction to System Certification Services Ltd.

System Certification Services Ltd (SCS) are a UKAS Accredited Certification Body (9235) providing third and second party audits across a number of standards, as per accreditation schedule, for a large range of industries in the UK and Ireland.

SCS was first established in 2015 and gained UKAS Accreditation in 2017 and was established to service the Certification market in Northern Ireland, GB and ROI.

It is recognized that we are in a competitive industry and our clients have a wide choice. We strive to keep our costs down, but without neglecting the quality of service, or full compliance with the regulations to which we work.

The SCS goal is always to improve and enhance the technical excellence of its employees and to expand the range and quality of its services. Not only do we aim meet the needs of every client, we continually seek to exceed them.

Service Delivery Policy Statement

Our Mission is to become a sector market leader by devoting our strength and resolve to the unending challenge of continuous improvement. To inspire confidence in the Certification services provided, we are committed to ensuring the following principles are implemented and adhered to:

- impartiality
- competence
- responsibility
- openness
- confidentiality
- responsiveness to complaints
- risk-based approach

System Certification Services, as a company, pledge our efforts and endeavours to securing a level of service beyond the expectations of all our customers and in so doing establish a reputation synonymous with integrity, professionalism and customer care. We take pride in our reputation and are fully committed to the provision of the highest standards of auditing and certification services.

Through the unending development of our people and the implementation of effective systems and operational processes, we shall ensure that the needs and expectations of our customers, supply chain and other interested parties are fully satisfied.

This Policy Statement provides the Framework for setting and integrating Management System Objectives with Strategic Business Planning, under the following improvement aims:

- To provide enhanced Customer Satisfaction
- To provide our services efficiently and effectively
- To protect and safeguard the impartiality of our services.
- To control all risks to stakeholders arising from our certification activities.
- To continually strive for reduced emissions and impacts on the environment.

This policy shall be periodically reviewed and made known to all existing and new personnel, clients, suppliers, and subcontractors, displayed throughout our locations and can be viewed on our website http://www.systemcertification.co.uk by wider stakeholders and the general public.

Signed & Dated copies of this and other relevant Policy Statements are available on our website, within Document 1.02.

3.1 Organisational Overview of the Certification Body

The way in which the Certification Body works is broadly as follows:

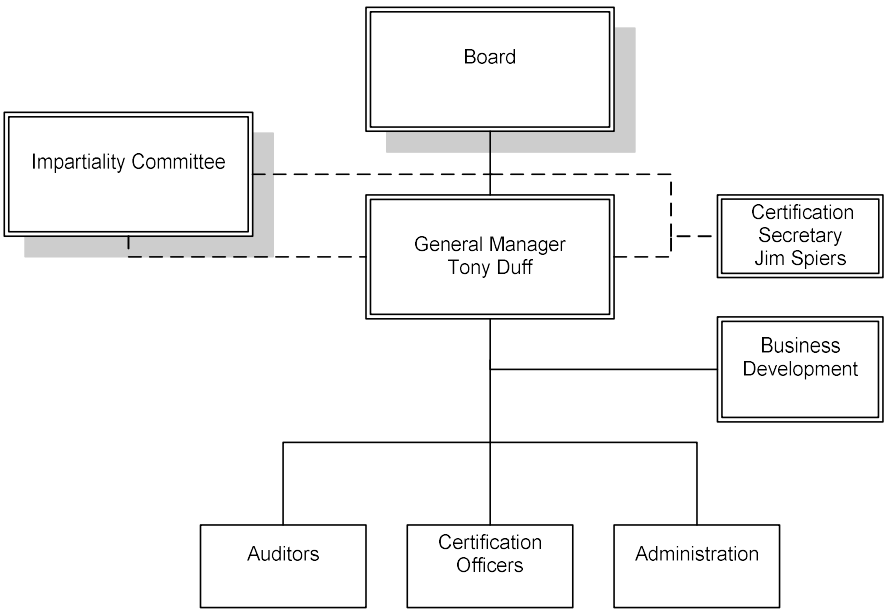
The Impartiality Committee is responsible for ensuring the impartiality of the audit and certification process. It meets regularly to conduct any necessary business such as:

- to review policies;
- to receive and consider the report of the General Manager;
- to consider and rule on any appeals against the results of audits;
- to appoint new Members;
- to decide on and follow up any actions which arise;
- to review any certificates which have been approved.

The General Manager is responsible for day-to-day operations of the Certification Body. More particularly:

- he/she implements the policies of the Impartiality Committee;
- he/she reports annually to the Impartiality Committee via its chairman;
- he/she assigns auditors to carry out assessments and to provide audit reports;
- he/she administers the Scheme and issues certificates based on the reports and recommendations of auditors and Certification Officers.

The structure of the Certification Body is shown below.



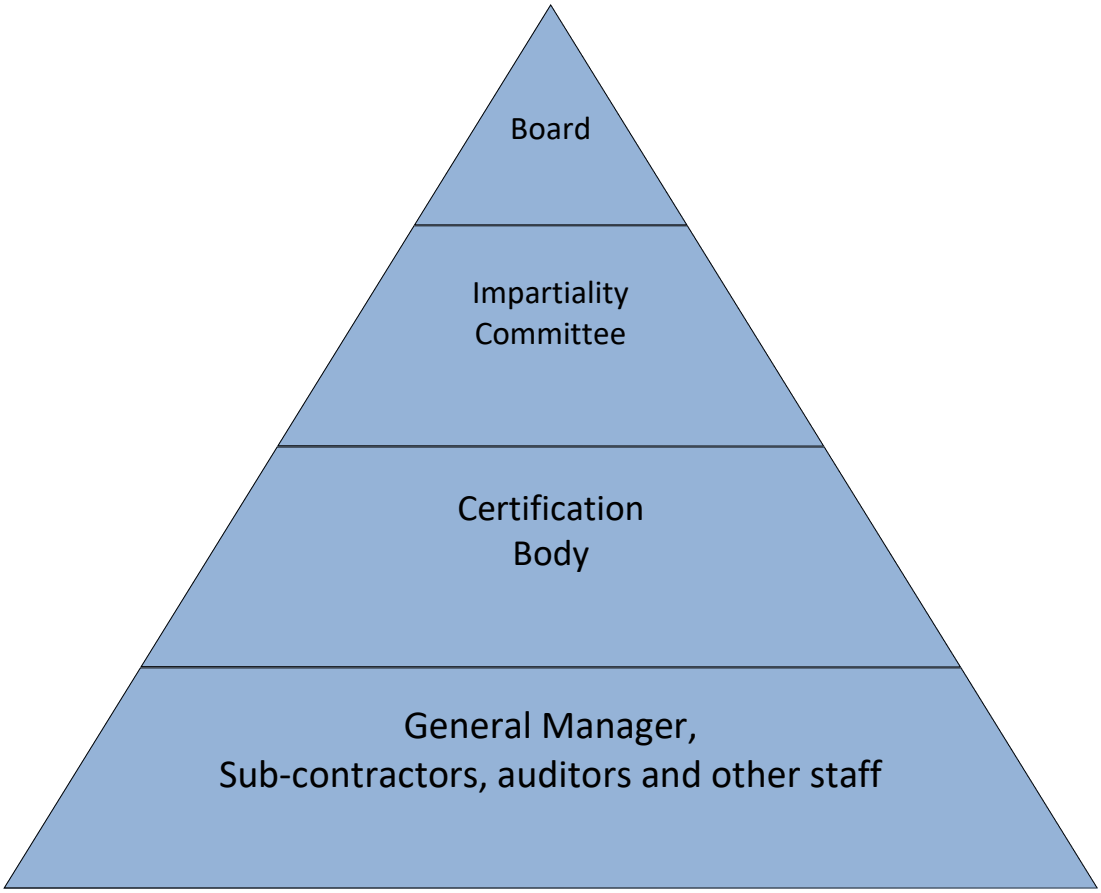
The General Manager has admin personnel, auditors and certification officers reporting to him/her. In summary, their roles are as follows.

- The admin personnel carry out the instructions of the General Manager, and follow the procedures of the Certification Body.
- Internal auditors plan, carry out and follow up internal audits.

- Auditors plan and carryout the audits of auditees prior to certification.
- Certification Officers review the recommendations of auditors and decide whether a certificate may be approved.
- The Certification Secretary reviews impartiality risk and authorises issuance of certificates.

3.2 The Company and the Certification Body

The Company, the Certification Body and their parts are shown in the following figure.



4. The Audit and Certification Process

The process of auditing and certification comprises a series of steps as follows. (Note: "auditing" is the process of examining a system to check that it complies with the appropriate standards; "certification" is the final step of issuing a certificate if the assessment is successful.)

4.1 Step 1 - Pre-Audit

The pre-audit is optional. It will be no longer than half the duration of the initial audit. It will be carried out in the same way as an initial audit, and provides practice for the auditee being audited. The objective is to find any major areas of weakness or aspects of the standards which are not addressed (either adequately or at all). The auditee can request what elements are audited.

4.2 Step 2 - Audit Planning

An audit plan is a programme which identifies which departments, functions or projects will be examined on which days and with respect to which aspects of the standard. If several auditors are to be involved, then the allocation of their time needs to be planned. The auditee needs to know when client personnel are likely to be required. If there are several locations to visit, the travel arrangements need to be optimised. The audit plan has to ensure that all relevant aspects of the organisation are adequately covered. A formal plan is not produced for Stage 1 Audits.

4.4 Step 4 - Initial Audit

The initial certification audit of a management system shall be conducted in two stages: stage 1 and stage 2.

Stage 1 audit

The stage 1 audit shall be performed:

- To audit the client's management system and documented information
- To evaluate the client's location and site-specific conditions and to undertake discussions with the clients personnel to determine the preparedness for stage 2 audit;
- To review the client's status and understanding regarding requirements to the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;
- To collect necessary information regarding the scope of the management systems (see above guidance), processes and location(s) of the client, and related statutory and regulatory aspects and compliance (e.g. quality, environmental, legal aspects of the client's operation, associated risks, etc);
- To review the allocation of resources for stage 2 and agree with the client on the details of the stage 2 audit;
- To provide a focus for planning the stage 2 audit by gaining a sufficient understanding of the client's management system and site operations in the context of possible significant aspects;
- To evaluate if the internal audits and management review are being planned and performance, and that the level of implementation of the management system substantiates that the client is ready for the stage 2 audit

Stage 2 audit

The purpose of the stage 2 audit is to evaluate the implementation, including effectiveness, of the client's management system. The stage 2 audit shall take place the site(s) of the client. It shall include at least the following:

- Information and evidence about conformity to all requirements of the applicable management system standard or normative document;

- Performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document);

- The client's management system and performance as regards compliance obligations;

- Operational control of the client's processes;

- Internal auditing and management review;

- Management responsibility for the client's policies

- Links between the normative requirements, policy, performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document), any applicable legal requirements, responsibilities, competence of personnel, operations, procedures, performance data and internal audit findings and conclusions.

4.5 Step 5 - Clear Down Corrective Actions

For any nonconformity there will be a proposed corrective action to remedy any defects in either products or processes. All corrective actions must be cleared to the satisfaction of the Audit Team Leader or a nominated representative before certification.

The nonconformities will be numbered and listed in the audit report. The corrective action plan is a parallel table, which identifies the proposed action for each nonconformity. The proposed action should state:

- The action completion date;
- Any rework of nonconforming product;
- Corrective (and preventive) action; as defined by the relevant certification standard.

NB: simply repairing or re-working nonconforming product is not corrective action; you must identify the root causes of nonconformities and take action to remove them and the correction and corrective actions.

For Initial Assessments, all corrective actions must be cleared within 6 months of the end of the initial audit. If they are not, a further audit will be required prior to certification. The Audit Team Leader may reduce this timeframe. For surveillance visits, the audit team will make a recommendation as to whether objective evidence for the closure of non-compliances must be submitted to SCS within defined timescales, or whether they can be closed out at the next surveillance visit.

4.6 Step 6 – Certification

On receipt of the Audit Report for initial and re-certification audits and, where applicable, corrective actions, the certification body will undertake a review to ensure that all the correct procedures have been followed, whether the recommendation of the Audit Team Leader is sound, and whether corrective actions have been appropriately addressed and evidenced.

This process can sometimes take several weeks, particularly if there are queries about the completeness of the audit and corrective actions. The person undertaking the review may also require additional evidence to be provided to ensure that the system meets the requirements of the specified standards. In exceptional circumstances, this could include an additional visit.

On completion of a satisfactory review the recommendation to certificate will be confirmed by the certification body and subject to a successful review of impartiality risk and authorisation by the Certification Secretary, the appropriate certificate will be issued.

4.7 Step 7 - Surveillance

The objective of a surveillance audit is for SCS to assure ourselves that you are continuing to work to a system which complies with the standards to which you are certificated, and that you take timely corrective action to correct nonconformities.

During surveillance, we may find nonconformities. As before, you need to propose corrective action. These will usually be cleared down at the following surveillance visit, but the Audit Team Leader may recommend more immediate clear-down.

After a number of visits, if it becomes apparent that compliance with the standard is good, then the time needed for surveillance may be reduced. An indication would be the number and nature of the nonconformities found during surveillance.

On the other hand, of course, if compliance were found to be unsatisfactory or of concern, then the amount of surveillance might need to be increased. In an unsatisfactory case, a further audit might be needed. Clearly, these costs are in the hands of the auditee. Also, see Section 5.9 (Suspension and Cancellation of Certificates).

3.8 Step 8 - Further Audit

If there have been significant changes to your management system or organisation, or if you wish to change your certificated scope, then a further audit may be required. What is to be done will depend on the recommendations of the Audit Team Leader.

A further audit is a partial or full audit similar to the initial audit. Its extent will depend on the change which caused it. The most common cause is a change in scope, but it may be required because of a change in organisation or the management system, or if the Audit Team Leader is concerned about the compliance of your system with the standard.

3.9 Step 9 - Reassessment

After three years from the initial audit, we re-audit your system. This follows a similar path as in the beginning, including a full system audit and a clear-down of the corrective actions. Surveillance then continues with a further re-audit three years later.

4.10 Determining period between stages and Back to Back Audits

The contract review will determine the approximate interval between stages 1 and stage 2 taking into consideration the risk, number of employees, commonality of operations, applicable legislation and regulations, and key processes.

During the scheduling process for the stage 1 audit the client and auditor may tentatively arrange a date for the stage 2 audit in line with the contract review guidance. This date will be confirmed during the stage 1 audit taking into consideration any findings and the client's resource availability to meet the deadline.

During the contract review it may be determined that a back to back audit is possible for stage 1 and stage 2 assessments. The client and auditor will be made aware of the risk of carrying out back to back audits and if the client fails stage 1 audit then the stage 2 audit will not go ahead and will need to be rescheduled. The quotation will reflect this requirement and informed of the risk.

Clients and Auditors are made aware that findings will not be downgraded to allow for the stage 2 audit to be carried out back to back with stage 1. Another visit may need to be scheduled for the stage 2 audit to take place and the appropriate fee applied. Formal opening and closing meetings must be held for both stages and a report written and presented for both.

5. Certification Guidelines

5.1 Scope

The requirement is for the organization to determine the boundaries and applicability of the management system to establish its scope.

At the opening meeting (during the initial audit), we will seek to agree the "scope" for which you wish to be certificated. Scope is a concise written description of your business purpose. It is your responsibility to propose the scope, although our Audit Team Leader will help if necessary.

Your scope should be sufficiently and precisely drawn as to give a clear understanding of the types of products or services which you supply. You should not be certificated for the supply of products you do not make or for services you do not provide. We need to satisfy ourselves that you are competent to supply across all the items normally understood to come within your certificated scope.

If there are regulatory requirements, standards or other normative documents against which you supply products or services, these should be included in your scope.

5.2 Definition of Organisation

At the opening meeting we will also seek to agree the definition of the organisation which you wish to have certificated. This need not have the same boundaries as organisations recognised by company law. The important thing is that the organisation be a sensible operating unit. You cannot exclude parts of the organisation simply because "they are not ready" or because you don't want to include them. By contrast, the organisation could include parts of several different companies (e.g.: one of your sub-contractors). But whatever the definition, it must be clear before the audit starts.

If you are operating through a number of remote branches, all of which: are part of the same organisation; are under the same control; are doing substantially the same job; are under common management; and, use the same management system and procedures, then the audit can be by sampling.

However, all the branches have to be assessed at least once over the three years before re-audit. In this case the certificate relates to the organisation as a whole. SCS reserves the right not to accept a certification project for organisations structured in a way that conflicts company law.

5.3 Supplies outside the Certificated System

It is your responsibility to ensure that you make no false claims as to the extent of your certification. Further, you must ensure that, when you supply products or services which were not designed or produced under your quality system, you do not make any implicit nor explicit claim to certification for those goods or services supplied. Moreover, you must ensure that certification is only used to indicate that systems, products or services meet the requirements of the specified standard(s), and not use your certification to imply or claim that the systems, products or services conform to any requirements outside the specified standard(s).

5.4 UKAS Accreditation

If you carry out tests or calibration work which is appropriate to UKAS accreditation, then you must obtain such accreditation and not simply obtain 9001 certification. Your UKAS accreditation will be accepted by SCS as evidence of compliance with the related requirements of ISO 9001 (this is for the UK only).

5.5 Effects on the Environment

ISO 9001 does not require that processes have no adverse effects on the environment except insofar as this is a customer requirement. ISO 14001 is available as a standard against which firms may be certificated by 'SCS' to demonstrate that their processes take the environment into account more generally.

5.6 Meeting Legal Requirements

If your management system conforms to ISO 9001, then you aim to meet all "agreed requirements" of the purchaser, including any legal requirements which are implied by your contract with them. During the audit, you will need to show that you actively seek to meet all known legal statutory and regulatory requirements. ISO14001 & ISO45001 refer to this requirement as 'compliance obligations' which also takes into consideration voluntary obligations.

SCS shall check that you have arrangements in place for ensuring that you have identified and are able to meet all relevant obligations. However, we shall not check that you do meet them; that remains your responsibility.

5.7 Policy as to when Certification Services shall be available

The services of the Certification Body shall be available to all organisations equally, subject to acceptable commercial terms, except that no organisation shall be certified if it has employed any employee or shareholder of the Company as a consultant or adviser within the preceding two years.

5.8 Complaints and Complaint Records

As part of his/her documented management system, the auditee shall keep a record of all complaints received and records of the remedial and preventive actions taken, and any predisposing factors within the management system. These records shall be made available to the auditor at each audit and surveillance visit.

5.9 Suspension, withdrawal and Cancellation of Certificates

The circumstances under which a customer's certificate may be suspended, withdrawn and/or cancelled include:

- 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;
- Misuse of certification marks/logos etc;
- The customer's circumstances change in such a way as to invalidate the scope of certification;
- The customer otherwise contravenes the terms and conditions of the certificate.
- Serious incident/accident or breach of regulation necessitating the involvement of the regulatory authority
- Serious incident/accident or breach of regulation identified during audit activity, subject to investigation, which demonstrates failure to meet OH&S certification requirements.

During surveillance, it may become apparent that the auditee is not working to a compliant, documented, management system, or he/she may be misusing the marks, or otherwise contravening the terms of their certificate. In this case, the auditee may be advised that their certificate is suspended pending meeting the terms of their certificate. This will usually involve the auditee's submitting a corrective action plan within 28 days setting out the corrective actions, including responsibilities and timescales that the customer intends to take to address the non-compliances/contraventions.

During suspension, the customer will not make any claims that the product/system is certified. The SCS logo / certification mark will not be used on any products during the period of suspension. The suspended status of the certification shall be made publically accessible via the website and SCS shall take any further measures deemed appropriate.

Any verification actions shall be carried out within six months of the suspension decision. In the event that the customer does not complete the activities set out in the Corrective Action Plan, the Certificate will be withdrawn. With immediate effect, the customer will be required to return the certificate to SCS, cease all further use of the SCS logo and certification marks, and will not make any claim to certification of systems, services or products. The withdrawal status of the certification shall be made publically accessible via the website and SCS shall take any further measures deemed appropriate.

5.10 Statement of Impartiality

System Certification Services provides its services in an open, independent and impartial manner to all clients and potential clients. All clients are treated in the same manner and are expected to achieve the same level of performance, both for their organisation and their services in order to obtain and maintain certification. SCS takes its certification decisions solely on the basis of objective evidence and in an objective manner, and any potential or actual conflicts of interest are assessed and managed.

Anyone who uses a certified client of SCS may rely on this impartiality and objectivity in their own procurement decisions (Full policy Statement in Document 1.02). SCS provides and independent oversight of its certification activities through SCS's Impartiality Committee, which consists of

representatives from a number of organisations with an interest in SCS's activities. It approves certification schemes, reviews certification operations (including complaints) and deals with other related matters.

6. Complaints and Appeals

At any time, a client or auditee may make a complaint about the service provided by SCS. Complaints should be addressed to the General Manager. If you are not satisfied with the response to a complaint, you may further complain to the chairman of the Impartiality Committee.

At any time, any interested party may appeal to the Impartiality Committee if:

- An application is rejected;
- a certificate is suspended or terminate;
- an audit result is not satisfactory

Appeals should be made via the General Manager. The appellant will have the opportunity to present his/her case to the Impartiality Committee. The Certification Body's costs arising from the appeal shall be to the account of: the appellant if the appeal fails; and to SCS if the appeal succeeds.

Complaints will be acknowledged with an initial response in writing within 10 days, and a full written response will be provided upon completion of a full investigation.

If a dispute arises during an audit, the auditor will aim to reach an agreement with the auditee. Where this is not possible, the auditee should contact the General Manager who will undertake an investigation into the nature of the dispute, and inform the auditee in writing as to the decision. The General Manager will also inform the auditee of the appeals procedure and further rights to take the matter to the SCS Impartiality Committee.

At any time, any interested party may make a complaint to SCS about you as a certificated supplier. In this event, we shall send you details of the complaint (excluding the identity of the complainant), and ask you to provide timely comment on the complaint. We would expect that you would propose appropriate corrective action. Depending on your response, we would take note for subsequent surveillance visits, and might require a further audit subject to a fee in accordance with Step 8 (3.8).

7. Accredited Scope

Currently, SCS offers certification to organisations for a number of sectors, if you would like to check to see if SCS is accredited for your organisations activities please contact our offices.

8. Rules governing the use of the Certification Mark etc.

The certification mark is used as part of a set, with the certification mark showing that the firm has been certificated by SCS to ISO 9001, ISO 14001 or ISO45001 etc and the accreditation mark showing that the certification was accredited by UKAS. An example of how the range of logos may be used, as appropriate, is as follows:

To use on Stationery

To use on Vehicles

For quality, environmental and H&S management system certification the marks may be used on stationery including sales brochures; they may not be used on products, associated documentation, or certificates. They may be used in electronic form where the use is akin to that of stationery, but not where they may seem to be associated with a product.

The UKAS marks may not be used on vehicles. The marks may not be used on laboratory test and calibration reports. The marks shall be not less than 20mm in height, and shall be a single colour only, which may be red, brown, black, dark blue, gold or the predominant colour of the letterhead in the case of pre-printed letterhead paper. The UKAS accreditation mark shall be used only if the certification is to an accredited scope. The marks are available in soft-copy form, available on request. A full Rules document is included as 3.06.

9. Pricing Guide

The following tables provide guidance on the number of man-days that will be needed for various steps in the audit process. These are indicative figures (not firm quotations); variations from the norm will vary the estimates. The effective number of employees consists of all full time personnel involved in the scope of certification including those working on each shift. Non-permanent and part time personnel who will be present at the time of the audit shall be included in this number.

The number of auditors employed will depend on the man-days required. As a rule of thumb, the number of auditors will not usually exceed half the duration of the audit in days. It is not usually beneficial to employ more auditors than this.

9.1 ISO 9001

Effective Number of Employees	Stage 1 & Stage 2*	Annual Surveillance*	Re-Assessment*
1-5	1.5	½	1
6-10	2	1	1.5
11-15	2.5	1	2
16-25	3	1	2
26-45	4	1.5	3
46-65	5	1.5 - 2	3.5
66-85	6	2	4
86-125	7	2.5	4.5
126-175	8	2.5 -3	5.5
176-275	9	3	6
276-425	10	3.5	6.5
426-625	11	3.5 -4	7.5
626-875	12	4	8
876-1175	13	4.5	8.5
1176-1550	14	4.5	9.5
1551-2025	15	5	10
2026-2675	16	5.5	10.5
2676-3450	17	5.5	11.5
3451-4350	18	6	12
4351-5450	19	6.5	12.5
5451-6800	20	6.5	13.5
6801-8500	21	7	14
8501-10700	22	7.5	14.5
>10700	Follow progression above	Follow progression above	Follow progression above

*Number of days includes planning, on site audit, interacting with client personnel and report writing as appropriate.

9.2 ISO 14001

To determine the amount of man-days required for an ISO 14001 audit it is necessary to assess the environmental complexity associated with your activities, these will be classified according to the following categories:

High	Environmental aspects with significant nature and gravity (Typically organisations with significant impacts in several of the environmental aspects)
Medium	Environmental aspects with medium nature and gravity (typically organisations with significant impacts in some of the environmental aspects
Low	Environmental aspects with low nature and gravity (typically organisations with few significant aspects)
Limited	Environmental aspects with limited nature and gravity (typically organisations of an office type environment)
Special	These require additional and unique consideration at the audit planning stage

Based on the classification, we will be able to determine the number of auditor days required by using the guidance given in the table below, taking into account additive and subtractive factors e.g. size of the organisation, shift working, number of sites.

Guide for Auditor Time for Initial Assessment (Audit Stage 1 and Audit Stage 2 together)

No of Effective Employees	High	Medium	Low	Limited
1-5	3	2.5	2.5	2.5
6-10	3.5	3	3	3
11-15	4.5	3.5	3	3
16-25	5.5	4.5	3.5	3
26-45	7	5.5	4	3
46-65	8	6	4.5	3.5
66-85	9	7	5	3.5
86-125	11	8	5.5	4
126-175	12	9	6	4.5
176-275	13	10	7	5
276-425	15	11	8	5.5
426-625	16	12	9	6
626-875	17	13	10	6.5
876-1175	19	15	11	7
1176-1550	20	16	12	7.5
1551-2025	21	17	12	8
2026-2675	23	18	13	8.5
2676-3450	25	19	14	9
3451-4350	27	20	15	10
4351-5450	28	21	16	11
5451-6800	30	23	17	12
6801-8500	32	25	19	13
8501-10700	34	27	20	14
>10700	Follow Progression Above			

NB. MD5/22 guide is used for the requirements for the ISO45001 Scheme, and the above can be utilised with the similar approach to risk and complexity, with risk categorisation restricted to High, Medium or Low.

9.3 Combined Audits

If you are applying for an integrated assessment, for example; ISO 9001 and ISO 14001, the number of audit days will be calculated by adding together the guidance numbers for ISO 9001 assessments and ISO 14001 assessments.

It is more difficult to express estimating rules to take account of the range of activities. At the lower end, the above figures rather assume that the organisation being audited is fairly homogeneous. So, for example, if the organisation carried out both product development (with 40 staff) and general consultancy (with 40 staff), it would be more accurate to estimate it as two organisations of 40 each (i.e. 2 x 4 = 8 man-days) rather than as one of 80 (i.e.: 5 man-days).

In all respects, the assumption is that the same quality/environmental management system is in use at all locations and for all work. If not, separate certification is required.

When a certification is being taken over from another accredited certification body, the time for "initial audit" will be clear from information obtained at the application and quotation.

9.4 Clear-down of Corrective Actions

It is not possible to make a firm estimate of the amount of time needed to clear-down corrective actions arising from the audit. On average, about 15% of the audit days will be needed for clear-down, bearing in mind that whole days are generally needed if a visit is required. It is often possible to clear-down nonconformities remotely, with a check on effectiveness at the following surveillance. This is most practicable for a firm with a well-run management system; this cost is built into our quotations.

9.5 Certification Fee

A certification fee ***may*** be payable: for each new certification; on revision of the certificate because of a change of scope or organisation definition; and after re-issue of a certificate after its withdrawal. A fee of £100 ***may*** be due to the additional back office effort associated with the technical review required.

The certification fee is payable in advance of the certificate issue; *in most cases these fees are built into our quotations.*

9.6 Surveillance

The time spent each year for surveillance will be about one third of that needed for the document review, planning, and the initial audit, but this might be varied (up or down) depending on how all the auditee's system complies with the standard. Note that in most years there will be at least one and perhaps two surveillance visits. There will always be a surveillance visit approximately six-ten months after the initial audit, and a minimum of one visit per calendar year. If your management system can be seen to be well managed and in good order, you may request that the audit frequency be reduced. This request should be made to the Audit Team Leader during a surveillance audit. He will make a recommendation to SCS, which will review the request and advise you accordingly.

9.7 Further Audits

Where the number or severity of non-compliances identified during an audit is excessive, further audits may be required to ensure compliance to the relevant standard. The number of days required will depend on the nature of the non-compliances raised.

9.8 Recertification

Recertification of the entire management system is generally required every three years. The time needed for the re-certificate audit will depend on how many assessment days have been carried out during the audit cycle, the level of control over the system demonstrated throughout the cycle, the number of sites visited etc. Generally, a re-certification audit will require approximately two-thirds of the audit days undertaken for the initial audit. However, if the surveillance audits have been carried out in excess of the guidance number of days, and if compliance with the standard has been good, a shorter recertification visit will be carried out. In other cases, the number of days could be equal to the initial audit. Depending on past performance over the audit cycle it may be necessary to apply a stage 1 and stage 2 audit approach.

9.9 Multi-site Organisations

Multisite organisations are defined as organisations that have an identified central function (head/central office) at which certain activities are planned, controlled or managed and a network of local or branch offices at which such activities are fully or partially carried out. This can also include associated storage of raw materials, by-products, intermediate products, end products and waste material, and any equipment or infrastructure involved in the activities, whether or not fixed.

Temporary sites are generally not considered multisite but may be subjected to auditing on a sample basis (such as construction). They may, however be included within the scope of registration but shall be identified as a temporary site within the certification documentation.

Examples of possible multi-site organisations are:

- Organisations operating with franchises
- Manufacturing companies with a network of sales offices
- Service companies

The processes at each site have to be substantially of the same kind and operating to similar methods and procedures. Where some sites conduct fewer processes than others, they may be eligible for inclusion providing that the sites conducting the most processes or critical processes are subject to a full audit.

Organisations which conduct their business through linked processes in different locations are also eligible for sampling providing all other provisions are met. The sampling plan shall include at least one example of each process conducted by the organisation (e.g. fabrication of electronic components in one location, assembly of the same components-by the same company in several other locations).

The organization's management system shall be under a centrally controlled and administered plan and be subject to central management review. All additional sites shall be subject to internal audits and shall have been audited prior to SCS conducting the assessment. The organisation must be able to demonstrate its ability to collect and analyze data from all sites including the central office.

If non-conformances are identified during the initial assessment a certificate shall not be issued until these have been addressed and closed out accordingly. A certificate will not be issued to one site if there are outstanding non-conformances pertaining to another site within the organisation.

The organisation must inform SCS of the closure of any of the sites covered by the certification. Any failure to provide such information will be considered as a misuse of the certification, and may result in certification being withdrawn. Certification may be withdrawn in its entirety, if the central office or any of the sites does not fulfill the necessary provisions for the maintenance of the certification.

Further information regarding the application of Multisite organisations can be found within IAF MD1, which is available upon request.

10. Terms and Conditions

The following terms and conditions apply to all agreements for the services and licences provided by SCS in connection with ISO9001, ISO14001 and ISO45001. They apply to all such agreements and are documented to supplement the General Terms and Conditions document 3.01.

10.1 Definitions

'Auditee' means the organisation, which is intended to be, or is certificated.

'Certificate' means a certificate issued by SCS which states that the quality, environmental, H&S system operated by the Auditee complies with specified standards, and any copies issued by SCS.

'Client' means the person with whom the contract is made with SCS for the supply of certification services and to whom a licence is granted for the use of the Marks.

'Impartiality Committee' means the Impartiality Committee of SCS

A 'Mark' means the SCS certification mark and the other marks which indicate that the auditee is certificated (including that of the UKAS).

'SCS' means System Certification Services Ltd acting through its General Manager.

'Quality, H&S or Environmental System' is that part of the Auditee's management system which meets the requirements of the Standard.

'Standard' means the Quality, H&S or environmental management system standard to which the Auditee is assessed and any supporting guidelines or supplements.

'UKAS' means the United Kingdom Accreditation Service.

10.2 Licence to use the Certification Mark and Certificate

Subject to the Auditee and the Client fulfilling their responsibilities hereunder, and during the currency of this agreement, SCS grants a licence for the Auditee to use the Marks and the Certificate. Copyright in the Marks and the Certificate remains vested in SCS and the copyright owners of the marks not owned by SCS. The Policy in the use of the Marks is ruled by Section 8 of this document, as detailed in the Rules document 3.06.

Incorrect references to the certification system or misleading use of Certificates in advertisements, sales brochures, etc. is not acceptable. Neither the Marks nor the Certificate may be used in any way which is unacceptable to SCS into disrepute.

SCS may revoke the Auditee's licence to use the Marks and terminate the Certificate if the Auditee or the Client fails to comply with any of these terms and conditions, or if the Client becomes bankrupt or makes an arrangement with its creditors or enters into liquidation (except for purposes of reconstruction) or has a receiver appointed, or if the Client fails to pay fees in due time, or if SCS loses its relevant accreditation.

10.3 Services to be provided by SCS

SCS will provide the Client with copies of the Certificate when all due fees have been paid. SCS will provide the services as described in Sections 4, 5 and 9, and as further defined in any instructions accepted by SCS. SCS will notify the Auditee of any changes to the Standard, and will allow the Auditee a reasonable time (as SCS shall determine) for the Auditee to revise his system accordingly.

10.4 Confidentiality

SCS shall keep all information of the Auditee and the Client in confidence, except insofar as such information is in the public domain, unless the Auditee or Client gives his permission for its release, unless such information must be released by law or for the purpose of SCS's accreditation, or unless the information is part of SCS's register of assessed firms, or other public database specific to the certification scheme.

10.5 Openness

Any member of the public may request access or disclosure of any client's certification status (i.e. the granting, extending, maintaining, renewing, suspending, reducing the scope of, or withdrawing of certification) in order to gain confidence in the integrity and credibility of certification. SCS shall provide this information in a timely manner. They may also request information about our audit process and certification process. SCS shall provide access to specific interested parties that request information on conclusion of a specific audit will be provided relevant non-confidential information about the conclusion of an audit. The Auditee and the Client shall do likewise in respect of SCS's information.

10.6 Duties of the Auditee

The Auditee shall:

- maintain a documented Management System which conforms to the certificated standards;
- provide SCS with a copy of the documentation which describes its Management System as required by SCS (insofar as the documentation is held electronically the Auditee shall provide SCS with a copy of the information on paper or electronic media at SCS's choice);
- advise SCS promptly of any intention to change the Management System, or any other changes to the organisation which could affect the conformity or scope of the certified management system;
- not change the Management System without SCS's confirmation that such a change would not invalidate the Certificate.
- give access, accommodation, and reasonable office facilities to SCS's and UKAS's staff at all reasonable and necessary times to enable them to assess the compliance of the Management System with the Standard by examination of information however held, by interviewing the Auditee's staff, and by examining processes and products;
- ensure that appropriate documentation, records and staff are available to ensure that SCS can effectively assess all relevant aspects of the system;
- only claim that it is certified with respect to those activities for which it has been granted certification;
- cease to use the certified logos in cases of suspension or withdrawal of the certification;
- not bring SCS into disrepute by inappropriate claims of certification;
- make its complaints file available to SCS and UKAS on request.
- comply with the requirements for certification, and supply any information needed for assessment;
- nominate for SCS approval a management representative and deputies as necessary to be responsible for all matters relating to the Certificate;
- keep copies of audit reports and other associated documentation for a minimum of 5 years;
- inform SCS immediately if it becomes aware of any legal challenge regarding the safety or legality of any products or services that it provides that are covered by the scope of its SCS certification.

10.7 Duties of the Client

The Client shall:

- pay SCS's fees as agreed;
- ensure that the Auditee fulfils his obligations hereunder.

10.8 Fees

SCS shall charge the Client fees for the services and licences provided. The fee rates shall be according to SCS's quoted prices for the service concerned. Fees may be quoted as a firm price explicitly or as an estimate.

Fees are due fourteen days in advance of the activity to which they relate, except for fees which are ascertained only after the activity is complete which are due thirty days after their invoice date. Fees shall be paid by the due date.

Where fees are quoted as a daily rate, the nominal day is eight hours, however a day's fee may be charged for five or more hours. Activities which are of only a few hours duration and at the auditor's office may be charged at an hourly rate prorated from the daily fee rate.

The fees for travel and subsistence expenses are normally included in the fee quoted but should additional costs be incurred due to the nature of the Client or process (eg. International temporary sites), fees for items such as hotels etc, if incurred, will be charged at cost, unless quoted otherwise. Value added tax will be charged as necessary.

If payment is late, interest may be applied, payable at The Bank of England base rate plus 8% per month.

10.9 Postponement and Cancellation

If the Client or Auditee postpones or cancels a planned activity with less than 20 working days notice before the start of the activity, SCS will charge the Client an additional fee for postponement or cancellation, as notified upon agreement of the audit schedule. The fee chargeable will be based on a percentage of SCS’s day rate fee per audit day (as per proposal agreed for that visit), as follows: cancellation within 5 working days = 100%; cancellation within 10 days = 50%, and, cancellation within 20 days = 25%.

Cancellations must be received in writing acknowledging the cancellation fee will be applied.

In the case of cancellation by the Client or Auditee during an activity, the whole quoted, estimated or actual fee for the activity will be charged.

SCS shall not be entitled to a cancellation fee where cancellation is due to SCS's act or omission. SCS may cancel an activity if the fees for it are unpaid by the due date; in this case a cancellation fee shall be due to SCS.

10.10 Termination of the Agreement

As per the General Terms & Conditions, either party may cancel the agreement by giving three months' notice. Termination of the agreement shall lead automatically to termination of the Certificate. On termination of the Certificate (however determined), the Auditee shall:

- immediately discontinue use of the Marks and the Certificate
- remove all references to such from all material and electronic media,
- return the Certificate (and all copies) to SCS.

10.11 Related Documents

The information in this document 3.04 Auditee Handbook is a part of the agreement between the Client and SCS. Signature & return of the Quotation for Services indicates acceptance of the Terms & Conditions detailed herein and in more detail in document 3.01. This information may be amended from time to time by SCS subject to the approval of the Impartiality Committee. SCS shall give notice of such change to the Client.

10.12 Limitation of Liability and Indemnity

Copyright shall remain SCS's property, but the Client and the Auditee shall have a licence to copy only for internal use all copyright material produced by SCS in the course of the agreement conditional on all due fees having been paid.

The Client and/or Auditee hereby consent to SCS's subcontracting its work as it sees fit.

Under no circumstances whatsoever shall SCS be liable under the law of contract, tort, or otherwise for any loss of profits or contracts or any indirect or consequential loss or damage.

The Client shall indemnify SCS against all claims, costs, actions and demands arising from SCS's services hereunder (except due to SCS's negligence), the use or misuse of the Marks or the Certificate, and any breach of this agreement.

Notices will be deemed to have been served 72 hours after being posted recorded delivery to the addressee's last known address.

Both parties agree that this contract is the complete and exclusive agreement between them. The contract shall be governed by Northern Irish Law and both parties shall submit to the jurisdiction of the Northern Ireland Courts.

11. Audit Application Questionnaire

If you would like SCS to provide you with a quotation for auditing services, please fill in our Application Questionnaire (5.04) and e-mail it to info@systemcertification.co.uk or send it to:

System Certification Services Ltd
Suite 716 Lisburn Enterprise Organisation
Ballinderry Road
Lisburn, Co. Antrim BT28 2BP

If there are points in the questionnaire which are unclear please call SCS on +44 (0) 2892444230 or e-mail info@systemcertification.co.uk .