

Audit process – Information for customers

System Certification Process



- A contract is signed between the organization and Nemko
- The Lead auditor and other relevant personnel are identified
- The organization and the lead auditor agrees on the progress, a planning meeting may be included • A time table is established and necessary documentation for the pre-audit shall be made available
- The pre-audit is conducted, with the aim of verifying the status of the management system before the certification audit. A program for the certification audit will be drafted.
- Report from the pre-audit is submitted to the organization with recommendations on areas for improvement before the certification audit
Note: before the certification audit the management, system must have been in operation for at least 3 months. Internal audits and at least one management review must have been completed.
- Establishing the final program for the certification audit – in cooperation with the customer. The certification audit must be carried out max. 6 months after completion of the pre-audit. Clarification of the time, place and persons to be interviewed - a minimum of 14 days before the audit
- The certification audit will be conducted in line with the principles of ISO 19011, the normal procedure will be as follows:
 - Opening meeting. Short presentation of intention and scope of certification
 - interviews with relevant staff according to audit program
 - investigation of the records (objective evidence)
 - closing meeting – presentation of findings e.g. non-conformities and recommendations
 - within 7 working days from the certification audit the customer will receive the report from the audit
 - the organization handles any non-conformities and provide answers within the agreed deadline
 - based on the organization's response a post-audit report will be made, giving recommendations on the certification decision
- The report is approved by the technical manager and a certificate is issued
- The certificate has a three-year validity - which requires a surveillance audit minimum once a year Prior to the expiry date of the existing certificate the organization will receive a new quote for a new 3 year period

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Audit cycle => Continues improvements => Customer satisfaction



Pre-Audit	Certification audit	Surveillance audit	Recertification audit
<p>The audit shall be performed to</p> <ul style="list-style-type: none"> ➤ audit the client's management system documentation; ➤ evaluate the client's location and site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for the cert. audit; ➤ review the client's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system; ➤ collect necessary information regarding the scope of the management system, 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.); ➤ review the allocation of resources for cert audit and agree with the client on the details of the cert audit; ➤ 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; ➤ evaluate if the internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for the cert. audit. 	<p>The objective is to evaluate the implementation and effect of the client management system. The audit shall take place at the client's location (s). It shall include at least the following</p> <ul style="list-style-type: none"> ➤ information and evidence about conformity to all requirements of the applicable management system standard or other normative document; ➤ performance monitoring, measuring, reporting and reviewing against key performance objectives and targets; ➤ the client's management system and performance as regards legal compliance; ➤ 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, any applicable legal requirements, responsibilities, competence of personnel, operations, procedures, performance data and internal audit findings and conclusions. <p>All nonconformities shall be closed before the certificate can be issued. The close out period should not exceed two months. If deadlines are not complied there will be a new pre-audit and cert. audit</p> <p>Certificates are issued for three years. 1st surveillance audit shall start before 12 months after the last day of the certification audit</p>	<p>The audits are carried out on site. Does not necessarily audit of the entire system. The program for monitoring audit shall include at least</p> <ul style="list-style-type: none"> ➤ internal audits and management review, ➤ a review of actions taken on nonconformities identified during the previous audit, ➤ treatment of complaints, ➤ effectiveness of the management system with regard to achieving the certified client's objectives, ➤ progress of planned activities aimed at continual improvement, ➤ continuing operational control, ➤ review of any changes, and ➤ use of marks and/or any other reference to certification. <p>Surveillance audits shall be performed at least once a year</p> <p>Lead auditor sets a deadline for closing nonconformities. Limit should not exceed 1 month. If the time limit is not met the certificate is suspended for up to 6 months. If nonconformities is not closed by then there will be a new pre-audit and cert.audit.to be recertified.</p> <p>Clients shall without delay inform Nemko on factors that may affect certification.</p> <p>Applications for extension of certification scope considered the audit actively either required before a decision on the extension can be taken.</p>	<p>The audit is an on-site audit that covers the following</p> <ul style="list-style-type: none"> ➤ the effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification; ➤ demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance; ➤ whether the operation of the certified management system contributes to the achievement of the organization's policy and objectives. <p>Nonconformities from the audit shall be closed by the expiration date of the certificate that is 3 years after the date of issue.</p> <p>If deadlines are not met there will be a new pre-audit and cert.audit.to be recertified. Any nonconformity must be closed before a new certificate is issued.</p>

Audit process – Information for customers

Suspend or withdraw a certificate



- If the certification holder:
 - neglects to rectify demonstrated deficiencies within the correct period,
 - conceals significant changes to the management system or provides false information during audits,
 - misuses the certificate,
 - does not pay the agreed amount at the right time, or
 - goes bankrupt or winds up the enterprise,
- Nemko AS can initiate the following measures regardless of the nature of the breach of agreement:
 - reduce the scope of the certificate.
 - suspend the certificate.
 - withdraw the certificate.
- A reduction in the scope of the certificate can, for example, involve a unit/department or a work process being removed from the scope of the certification.
- If the certificate holder terminates the agreement during the contract period, the validity of the certificate(s) will end 60 days from the termination date.
- Suspension means that the certificate is temporarily withdrawn, but the enterprise retains its certificate number and period of validity. Suspensions occur for reasons of a more extensive nature than that which is the case in the event of a reduction of scope, but does not indicate that the certificate is being withdrawn in its entirety. For example, suspensions can be initiated in the event of larger reorganizations or other circumstances relating to the management system. The duration of the suspension can be up to 6 – six – months, after which the certificates will be withdrawn.
- Withdrawal can take place with immediate effect if it is discovered that the certification holder is not fulfilling the requirements and provisions upon which the certification was based. In the event of suspension and withdrawal all reference to the certificate must be removed from letterheads, envelopes, brochures, items, etc.
- Nemko AS is entitled, upon request, to publicize decisions about the final or temporary withdrawal of certificates. Any withdrawal will mean that the certification holder will be stricken from the register of certification holders.

Audit process – Information for customers

Processes for handling requests for information, complaints and appeals



Information

All kinds of questions regarding certification of management systems are addressed to the Administration of System Certification in Nemko.

Complaints

All kinds of complaints about management system certification in Nemko are addressed to the Administration of System Certification in Nemko.

- A complaint must be in writing;
- The complainant will receive confirmation that Nemko has received the complaint;
- The complaint will be handled within Nemko's nonconformity system;
- The complainant will receive the result of the complaint.

Appeals

The result of the complaint may be appealed.

- An appeal must be in writing and sent to addressed to the Administration of System Certification in Nemko;
- The appellant will receive a confirmation that Nemko has received the complaint;
- The appeal will be forwarded to, and handled in Nemko's Internal Procedure Unit (IPU);
- The appellant will receive the result of the appeal.