

Universal Quality Standards Registrar

QP 02 Audit and Certification Procedure

1. AUDIT PROGRAMME [9.1.1]

The audit programme shall be conducted in stages within a 3-year certification cycle as follows;

- Initial audit: Two stage process
- Surveillance audit: Conducted in the first and second years, and
- Recertification audit: In third year prior to certificate expiry date.

Three-year certification cycle begin with the certification or recertification decision.

In determining the audit programme for a particular client consideration shall be given to;

- Size of organisation
- Scope and complexity of the management system
- Products and processes
- Demonstrated level of management system effectiveness
- Results of previous audits, including those from other accredited certifications

Where UQSR will take account of certification or other audits already granted to the client, it will collect sufficient, verifiable information to justify and record any adjustments to the audit programme.

2. AUDIT PLANNING [9.1.2]

UQSR establishes an audit plan for each audit and provides this to the client as a basis for agreement regarding the conduct and scheduling of audit activities. Application review and audit planning will be done by competent person, *competence criteria is defined in QP-05 & F-059*. Client is informed about team with audit plan. The audit plan is communicated and the dates of the audit agreed upon, with the client organization in advance the audit plan communicated and the dates of the audit agreed upon, with the client organization in advance. UQSR provides the name of and, when requested, make available background information on each member of the audit team, with sufficient time for the client organization to object to the appointment of any particular auditor or technical expert and for the certification body to reconstitute the team in response to any valid objection. Before planning audit UQSR will conduct an application review and supplementary information for certification to ensure that:

- the information about the applicant organization and its management system is sufficient for the conduct of the audit
- the requirements for certification are clearly defined and documented, and have been provided to the applicant organization
- any known difference in understanding between the certification body and the applicant organization is resolved
- UQSR has the competence and ability to perform the certification activity

Universal Quality Standards Registrar

QP 02 Audit and Certification Procedure

- The scope of certification sought, the location(s) of the applicant organization's operations, time required to complete audits and any other points influencing the certification activity are taken into account (language, safety conditions, threats to impartiality, etc.)
- Records of the justification for the decision to undertake the audit are maintained.

Determining audit objectives, scope and criteria

UQSR will determine the audit objectives, scope and criteria. Objective of audit is to determine ability of client's management system to meet applicable statutory, regulatory and contractual requirements. The objective of audit is to evaluate effectiveness of the management system to ensure the client organization is continually meeting its specified objectives. Identification of areas for potential improvement of the management system.

The audit scope shall describe the extent and boundaries of the audit, such as physical locations, organizational units, activities and processes to be audited. In the case of multiple sites or certification to multiple management system standards being provided by the UQSR, the planning for the audit ensure adequate on-site audit coverage to provide confidence in the certification. Rationale for the sampling plan is documented for each client. Audit team analyse all information and audit evidence gathered during the stage 1 and stage 2 audits to review the audit findings and agree on the audit conclusions. The audit criteria used as a reference against which conformity is determined, and it includes: the requirements of a defined normative document on management systems; the defined processes and documentation of the management system developed by the client.

Audit plan includes:

- a) the audit objectives;
- b) the audit criteria;
- c) the audit scope, including identification of the organizational and functional units or processes to be audited;
- d) the dates and sites where the on-site audit activities are to be conducted, including visits to temporary sites, as appropriate;
- e) the expected time and duration of on-site audit activities;
- f) the roles and responsibilities of the audit team members and accompanying persons

Notes:

- Where the Client's scope includes site work or installation the Audit Plan is to reflect this activity.

Universal Quality Standards Registrar

QP 02 Audit and Certification Procedure

Deciding Audit Team

In deciding the size and composition of the audit team, UQSR will consider the following:

- a) audit objectives, scope, criteria and estimated time of the audit;
- b) whether the audit is a combined, integrated or joint audit;
- c) the overall competence of the audit team needed to achieve the objectives of the audit;
- d) certification requirements (including any applicable statutory, regulatory or contractual requirements);
- e) language and culture;
- f) whether the members of the audit team have previously audited the client's management system.
- g) competence of audit team. UQSR have a process for selecting and appointing the audit team, including the audit team leader, taking into account the competence needed to achieve the objectives of the audit. If there is only one auditor, it is ensured that the auditor have the competence to perform the duties of an audit team leader applicable for that audit.

Audit team is appointed and composed of auditors (and technical experts, as necessary) who, between them, have the totality of the competencies identified by UQSR as set out. Selection of the team is performed with reference to the designations of competence of auditors and technical experts. Individual(s), who will be conducting the certification decision, are appointed to ensure appropriate competence is available as per UQSR competence requirements. Knowledge and skills of the audit team leader and auditors supplemented by technical experts, translators and interpreters. Time spent by any team member that is not assigned as an auditor (i.e. technical experts, translators, interpreters, observers and auditors-in-training) does not count in the above established audit time. These team members operate under the direction of an auditor. Translators or interpreters selected such that they do not unduly influence the audit. Auditors-in-training are included in the audit team as participants, provided an auditor is appointed as an evaluator. Competent the evaluator are used to take over the duties and have final responsibility for the activities and findings of the auditor-in-training. The audit team leader, in consultation with the audit team, assign to each team member responsibility for auditing specific processes, functions, sites, areas or activities. These assignments take into account the need for competence, and the effective and efficient use of the audit team, as well as different roles and responsibilities of auditors, auditors-in-training and technical experts. Changes to the work assignments may be made as the audit progresses to ensure achievement of the audit objectives.

Audit team tasks:

- examine and verify the structure, policies, processes, procedures, records and related documents of the client organization relevant to the management system.

QP 02 Audit and Certification Procedure

- determine that these meet all the requirements relevant to the intended scope of certification
- determine that the processes and procedures are established, implemented and maintained effectively, to provide a basis for confidence in the client's management system
- communicate to the client, for its action, any inconsistencies between the client's policy, objectives and targets (consistent with the expectations in the relevant management system standard or other normative document) and the results

3. CONDUCTING ON-SITE AUDITS [9.1.9]

3.1 Initial audit - Stages 1 & 2 [9.2.3] [9.2.4] [9.2.5]

The initial audit process shall be conducted in TWO stages. In conclusion of the audit, records must demonstrate that all applicable requirements of the ISO 9000 series have been addressed and included within a representative section of the organisation, within the agreed scope of certification. A formal opening and closing meeting, where attendance is recorded, is held with the client's management and, where appropriate, those responsible for the functions or processes audited.

Note:

Conversion audits may be undertaken as a result of an application from the Client to convert its quality system certification from another accredited certification body – **See Note 1 for particular requirements.**

3.1.1 A Stage 1 audit shall be performed to;

- a. Audit the client's management system documentation
- b. Evaluate location and site specific conditions and to determine through discussion with the client their preparedness for a Stage 2 audit
- c. Review client's status and understanding of the management system standard, including key processes, objectives, performance measures and system operation.
- d. Determine proposed scope of certification, client location(s) and processes, and related statutory and regulatory requirements.
- e. Review resource allocation for Stage 2 audit and to communicate details of the Stage 2 audit process
- f. Gain sufficient understanding of the client's management system and site operations in the context of possible significant aspects or business risk
- g. Evaluate if internal audits and management review are being planned and performed, and that the level of management system implementation indicates that the client is ready for a Stage 2 audit.

Universal Quality Standards Registrar

QP 02 Audit and Certification Procedure

Stage 1 audit findings documented and communicated to the client. They include identification of any areas of concern that could be classified as nonconformity during the stage 2 audit. In determining the interval between stage 1 and stage 2 audits, consideration is given to the needs of the client to resolve areas of concern identified during the stage 1 audit. UQSR may also need to revise its arrangements for stage 2 based on findings of stage 1.

Note: if client have more than 2 sites then audit will be conducted on sample basis.

3.1.2 A Stage 2 audit shall be performed to evaluate the implementation, including effectiveness, of the client's management system. It shall take place at the client's site and include at least the following;

- a. Information and evidence about conformity to all requirements of the applicable management standard (or normative document)
- b. Evidence of performance monitoring, measuring, reporting and reviewing against key performance objectives and targets
- c. The client's management system and performance regarding legal compliance
- d. Operational control of processes
- e. Internal audit and management review
- f. Management responsibility for the client's policies
- g. Demonstrable audit trails between the above (a – f)

Note: if client have more than 2 sites then audit will be conducted on sample basis. The audit team analyse all information and audit evidence gathered during the stage 1 and stage 2 audits to review the audit findings and agree on the audit conclusions.

Where any part of the audit is made by electronic means or where the site to be audited is virtual, the UQSR will ensure that such activities are conducted by personnel with adequate competence in same media / means. The evidence obtained during such an audit will be sufficient to enable the auditor to take an informed decision on the conformity of the requirement in question.

3.2 Surveillance Audits [9.3]

Following on from a Company achieving ISO 9001 certification a planned programme of surveillance visits commences. The frequency and duration of the visits are based on the type and complexity of the Client's business. If a client has more than 1 site under scope of certification then surveillance audit will be conducted on different sites based on sampling. Surveillance visits will usually be carried out at 6 or 12 month intervals - **See Note 2 for particular requirements**. Date of the first surveillance audit following initial certification should not be more than 12 months from the last day of the stage 2 audit.

Visits will be initiated as per the Client Application Procedure (**QP 01**) and conducted on-site in accordance with protocols which ensure that;

Universal Quality Standards Registrar

QP 02 Audit and Certification Procedure

- Representative areas and functions of the client's management system covered by the scope of the management system are monitored on a regular basis, and
- Any changes to the client (e.g. organisation) and to the management system are taken into account.

Certification Manager will then;

- Review annual Surveillance Visit Reports and Client's corrective action response (where required) to confirm the validity of the initial certification decision.

Notes:

- a. The Auditor may recommend that the frequency of surveillance audits be:
 - Extended, depending upon the demonstration of good performance, or
 - Reduced upon the demonstration of poor performance
- b. Surveillance visits will not usually be less than 1 day's duration.
- c. At each surveillance visit the following areas must be addressed:-
 - System maintenance, i.e. internal audit, management review and preventive and corrective actions
 - A review of action taken on non-conformities identified during the last audit
 - Customer complaints
 - Changes to the system
 - Other selected areas to ensure adequate coverage over the certification cycle
 - Use of marks
 - Records of appeals, complaints and disputes brought before the certification body, and where any non-conformity or failure to meet the requirements of certification is revealed, that the organisation has investigated its own systems and procedures and taken appropriate corrective action.

Other surveillance activities include:

- enquiries from UQSR to the certified client on aspects of certification
- reviewing any client's statements with respect to its operations (e.g. promotional material, website)
- requests to the client to provide documents and records (on paper or electronic media)
- other means of monitoring the certified client's performance

3.3 Recertification audits [9.4]

Audits may be undertaken;

- Where the performance of the Client leads to significant concerns and reaudit is recommended and endorsed in accordance with UQSR Procedures.

Or....

QP 02 Audit and Certification Procedure

- Where there have been significant changes to:-
 - i) UQSR certification scheme
 - ii) The standard to which the Client has been assessed
 - iii) Ownership, management or activity of the Client

Or....

- Upon expiry of the Client's certificate:
Routine (3 yearly) reaudits shall be conducted at the expiry of an existing certificate are conducted to verify overall continuing effectiveness of the client's quality system in its entirety, and provide for a review of past performance of the system over the period of certification.

Notes:

The re-audit will also be used to ensure:-

- i) the effective inter-action between all elements of the system
- ii) the overall effectiveness of the system in its entirety in the light of any changes in operation
- iii) demonstrated commitment to maintain the effectiveness of the system
- iv) operation of the certified management system contributes to the achievement of the organization's policy and objectives

The re-issue of the certificate, information contained thereon and the subsequent surveillance cycle all to be generally as per the initial certification and surveillance period.

Note: A stage 1 audit will be conducted in situations where there have been significant changes to the management system, the client, or the context in which the management system is operating

3.4 Special audits [9.5]

Extensions to Scope may be undertaken as a result of an application from a UQSR certificated Client to additional activities, areas or sites that form part of their quality system be assessed. Where such a request is made then the **Client Manager** will:-

- a) Extend the next surveillance visit, if required, to allow sufficient time to assess the additional areas, or
- b) Authorise an additional surveillance visit to specifically assess these areas, or
- c) An interim visit purely for the scope extension

In response to an application for extension to the scope of a certification already granted, UQSR undertake a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted. This may be conducted in conjunction with a surveillance audit.

Universal Quality Standards Registrar

QP 02 Audit and Certification Procedure

Any additional costs will be agreed with the Client before the visit and an invoice raised. Where required a quotation (F-004) and Costing Sheet shall be raised for the Client identifying:-

- Cost of the additional visit or the additional time required to assess the areas, and
- Budgetary cost of the additional time to be allocated for future surveillance visits

Client Manager will:-

- a) Raise an Extension to the Scope Request form (F-005) identifying the additional areas to be assessed.
- b) Maintain records, including site file, master card, database and auditor authorisation
- c) Send revised Certificate to the Client with a letter detailing any resulting increased frequency or duration of surveillance

Conversion audits may be undertaken as a result of an application from the Client to convert its quality system certification from another accredited certification body. The following areas must be addressed during the conversion audit:-

- Any changes to management structure or Company representative
- Minutes of the last management review meeting
- Any changes to the Quality Manual
- Customer complaints and corrective/preventive actions
- Internal quality audits
- Corrective actions resulting from the non-conformities raised by the previous certification body's last visit.

Note:

Where this report is not available, or where no non-conformities were raised, the Auditor will cover as many areas as time-scales permit to ensure that the quality system is being maintained and that no major problems exist.

Short notice audits may be undertaken;

- i) Where complaints have been received by UQSR about the Company
- ii) Following a recommendation made by an Auditor during a surveillance visit e.g.
 - As a result of a breakdown in the Client's quality system, or a trend within a certain area being identified
 - Due to a significant change in the Client's management, ownership or quality system
- iii) Where Client Manager has identified a significant problem with the Client's quality system or has been informed of a significant change in the Client's management, ownership or quality system.

Universal Quality Standards Registrar

QP 02 Audit and Certification Procedure

iv) As a result of misuse of the Certificate or the Certification Mark.

A prior information will be sent to client for short notice audit. The audit format will be as that of the surveillance visit, but Auditor(s) shall concentrate on areas of deficiency. The outcome of a Short notice audit will be **continuation, suspension or withdrawal of certification**. Special care will be taken in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members. In the case of short-notice audits UQSR describe and make known in advance to the certified clients the conditions under which these short notice visits are to be conducted and exercise additional care in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members.

4. AUDIT REPORTS [9.1.10]

Client Manager will:-

- a) Review Audit Report (F-011, F-012) and related documentation received from the Auditor
- b) Progress receipt of the Client's corrective action plan within the agreed timescale (using diary) as necessary
- c) Review acceptability of Client's proposed remedial action utilising Auditor and/or Certification Manager as appropriate
- d) Up-date the Client/Site file and database

Original audit reports shall be submitted to the Client with an explanation of any differences from previous report(s). Ownership of the audit report is maintained by UQSR.

Reports shall include the following information as a minimum;

- Date(s) of the audit(s)
- Identification of certification body
- Identification of audit team members
- Name(s) of person(s) responsible for the report
- Names and addresses of all sites audited
- Assessed scope of certification
- any deviation from the audit plan and their reasons;
- any significant issues impacting on the audit programme;
- significant changes, if any, that affect the management system of the client since the last audit took place;
- where applicable, whether the audit is combined, joint or integrated;
- a disclaimer statement indicating that auditing is based on a sampling process of the available information;
- recommendation from the audit team;
- the audited client is effectively controlling the use of the certification documents and marks, if applicable;
- verification of effectiveness of taken corrective actions regarding previously identified nonconformities, if applicable.
- a statement on the conformity and the effectiveness of the management system together with a summary of the evidence relating to:

Universal Quality Standards Registrar

QP 02 Audit and Certification Procedure

- the capability of the management system to meet applicable requirements and expected outcomes;
 - the internal audit and management review process;
 - **a conclusion on the appropriateness of the certification scope;**
- **confirmation that the audit objectives have been fulfilled.**
 - Summary of overall findings, including
 - Conclusions regarding the client's capability of meeting agreed requirements for product/service,
 - Extent of QMS / EMS conformity with ISO 9001:2015 / ISO 14001:2015 standard's requirements,
 - The degree of reliance that can be placed on the internal audit'
 - Any Observations regarding QMS / EMS implementation
 - Conclusions reached by the audit team,
 - Any useful comparison with the results of previous audits, where applicable.

Consideration must also be given to;

- a. The qualification, experience and authority of the Client's staff encountered,
- b. The adequacy of the Client's QMS /EMS, including its organisation and procedures,
- c. Any actions taken to correct identified nonconformities, including any nonconformities identified at previous audits.
- d. related records necessary to establish the credibility of the certification

Information provided by the audit team to UQSR:

- the audit reports
- comments on the nonconformities and, actions taken by the client, where applicable, the correction and corrective
- confirmation of the information provided to the certification body used in the application review (see 9.2.2)
- a recommendation whether or not to grant certification, together with any conditions or observations

5. CLIENT CORRECTIVE ACTION [9.1.11]

Client Manager will:-

- Review Audit Report (F-011, F-012, F-015, F-016) and related documentation received from the Auditor
- Progress receipt of the Client's corrective action plan within the agreed timescale (using diary) as necessary
- Review acceptability of Client's proposed remedial action utilising the Auditor and/or Certification Manager as appropriate, and resolve any problems by telephone or fax. Details of agreed resolution shall be recorded.
- Acknowledge acceptability of proposed remedial action to the Client in writing.

Universal Quality Standards Registrar

QP 02 Audit and Certification Procedure

- Endorse a copy of the Client's corrective action plan.
- Pass a copy of the report to the Certification Manager or Governing Board representative(s) for review.
- Up-date the Client/Site file and database.

6. CORRECTIVE ACTION REVIEW [9.1.12] AND VERIFICATION [9.1.13]

Certification Manager will review the reports and either:-

- Approve the extension to scope by endorsing request form (F-005) and make relevant changes to the Certificate, or
- Initiate appropriate follow-up action with the Client

UQSR will verify effectiveness of corrections and corrective actions. UQSR requires the client to analyse the cause and describe the specific correction and corrective actions taken, or planned to be taken, to eliminate detected nonconformities, within a defined time. Evidences are evidence obtained to support the resolution of nonconformities recorded. Client informed of the result of the review and verification. The client informed if an additional full audit, an additional limited audit, or documented evidence (to be confirmed during future surveillance audits) will be needed to verify effective correction and corrective actions.

7. CERTIFICATION DECISION [9.1.14 & 9.1.15]

UQSR retain authority for its decisions relating to certification, including the granting, maintaining, renewing, extending, reducing, suspending, restoring and withdrawing of certification. Following audit of the Client's management system and return of the Site File; UQSR makes the certification decision on the basis of an evaluation of the audit findings and conclusions and any other relevant information (e.g. public information, comments on the audit report from the client).

Prior to certification decision UQSR will ensure that:

- the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification
- it has reviewed, accepted and verified the effectiveness of correction and corrective actions, for all nonconformities that represent:
 - failure to fulfil one or more requirements of the management system standard
 - a situation that raises significant doubt about the ability of the client's management system to achieve its intended outputs
- it has reviewed and accepted the client's planned correction and corrective action for any other nonconformities

Certification Manager along with approved lead auditor (employed / contracted) of that particular EA code will review *the* Audit Report (F-011, F-012, F-015, F-016) and related documentation received from the Auditor, including the client's corrective action report if required, to ensure

Universal Quality Standards Registrar

QP 02 Audit and Certification Procedure

completeness. UQSR do not outsource or authorise any other person or entity to take certification decision.

Certification Manager will review the reports and client's corrective action response (where required) and either:-

- Approve the issue of certification
- Initiate appropriate follow-up action with the client

Client Manager will then:-

- a. Allocate a certificate number from the Registered Clients Log and up-date the Registration status sheet accordingly (F-022)
- b. record each certification decision including any additional information or clarification sought from the audit team or other sources.
- c. Raise the certificate on the database
- d. Send the following documentation to the Client
 - Certificate
 - Supplement to the Regulations describing the use of the Certification Mark
 - A bromide of the appropriate Certification Mark (accredited or unaccredited)

The Client shall be informed of UQSR's accreditation status. The Client is permitted to display the Accredited Certification Mark only where UQSR has been accredited by particular accreditation Board for the Client's activities, and in accordance with the rules given in the supplement to the regulations. Where this is not the case then the Client will only be able to use the UQSR Certification Mark.

Note: during certification decision it will be ensured that decision will be made unbiased and if required a competent person (from governing board, apart from certification manager and owners of UQSR) who knows the standard, can be used to take certification decision. UQSR will ensure that this person does not have any interest in client's business & does not have any relation with client. UQSR will ensure that the persons or committees that make the certification or recertification decisions are different from those who carried out the audits. UQSR will ensure that during certification decision or in the case of appeal, judgement will be taken by those shareholders and board members who do not have any interest in client's business and does not have any relation with client.

Information to be included on the Certificate:-

- Certificate Number
- Date of issue and expiry
- Company or Group name
- Company address, or main site/holding Company in the case of a Group
- Standard to which the Company/Group is approved
- Scope of registration

Universal Quality Standards Registrar

QP 02 Audit and Certification Procedure

Note: date of issue of certificate should not be before certification decision date.

Additional Information to be included on the Database

- Surveillance Visit Programme
- Target month and duration for each surveillance over the three years
- Target month for the reaudit
- Classification codes appropriate to the scope of certification
- Classification codes for which UQSR has been accredited

8. MAINTENACE, RENEWAL, SUSPENDING, RESTORING, WITHDRAWAL, EXPANDING OR REDUCING SCOPE OF CERTIFICATION [9.6]

UQSR may suspend, restore, withdraw, extend or reduce the scope of certification as a result of an investigation following:-

- Recommendation made during a surveillance or special visit
- The certified management system have persistently and seriously failed to meet certification requirements
- Surveillance audits and recertification audits not allowed to be conducted according to required frequency or as scheduled
- A particular activity do not come under scope of certification and doesn't meet concerned standard
- Company has started new activities and implemented the standard in that department
- Failure to comply with the Terms & Conditions of Business and Rules for Use of the Certification Mark
- Significant change in the quality system, management or ownership
- Significant complaint from any third party
- Significant or recurring non-conformities or complaints
- Non payment of fees
- Evidence received from authorities etc. that could affect the status of certificate
- Customer voluntarily requesting temporary suspension

During recertification audit following things are check:

- 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.
- Whether client 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

Note: Recertification audit activities have a stage 1 audit in situations where there have been significant changes to the management system, the client, or the context in which the management

Universal Quality Standards Registrar

QP 02 Audit and Certification Procedure

system is operating (e.g. changes to legislation). 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. If the UQSR has not completed the recertification audit or the UQSR is unable to verify the implementation of corrections and corrective actions for any major nonconformity (see 9.5.2.1) prior to the expiry date of the certification, then recertification will not be recommended and the validity of the certification shall not be extended. The client will be informed and the consequences shall be explained. Following expiration of certification, the UQSR can restore certification within 6 months provided that the outstanding recertification activities are completed, otherwise at least a stage 2 will be conducted. The effective date on the certificate will be on or after the recertification decision and the expiry date shall be based on prior certification cycle.

UQSR maintains a client's certification based on a positive conclusion by the audit team leader without further independent review, provided that:

- for any nonconformity or other situation that may lead to suspension or withdrawal of certification, UQSR has a system that requires the audit team leader to report to UQSR need to initiate a review by appropriately competent personnel (see 7.2.9), different from those who carried out the audit, to determine whether certification can be maintained
- competent personnel of UQSR monitor its surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity is operating effectively

Decision of maintenance is taken based on demonstration that the client continues to satisfy the requirements of the management system standard.

The decision to suspend or withdraw a Certificate will be noted (F-022) by the **Certification Manager** or Governing Board representative(s) depending on impartiality, and full details of the reason are recorded in the Client/Site file.

Based on findings of surveillance audit Certification manager / Governing board will take decision on maintenance of certificate.

For extension and renewal UQSR will conduct a scope extension audit and certification procedure will be followed as defined in sec. 7 of this procedure. Certification Manager / Governing Board will take the decision as per sec. 7. UQSR will make decisions on renewing certification based on the results of the recertification audit, as well as the results of the review of the system over the period of certification and complaints received from users of certification. If NC's are found during recertification audit or instances of nonconformity or lack of evidence of conformity are identified, client should submit correction and corrective actions to be implemented prior to the expiration of certification.

Universal Quality Standards Registrar

QP 02 Audit and Certification Procedure

UQSR make decisions on renewing certification based on the results of the recertification audit, as well as the results of the review of the system over the period of certification and complaints received from users of certification.

Certification Manager will:-

- Inform the Client of the decision in writing, and of their right of appeal
- Withdraw the certificate
- If required, authorise a special visit on the Client to ensure that the Client has ceased using the Certificate or Certification Mark

NOTE: Certificate suspension and withdraw procedure is defined in appendix 6 attached.

Client Manager will;

- File the Site file
- Amend the Monthly Surveillance Register and Auditor Authorisation, as applicable.

Where the entire certificate is being withdrawn then the Client and Site file(s) are endorsed with the words “withdrawn” and archived into the appropriate area of the filing system.

Note:

- If the recommendation is to “DECLINE CERTIFICATION” then the Lead Auditor is to outline the Appeals Procedure to the Client.

9. IMPARTIALITY

The certification / registration process shall only be conducted by persons employed or contracted to UQSR.

To maintain impartiality of the certification scheme Certification decisions shall not be delegated to an outside person or body, including a person who has a vested interest in the outcome of the audit, e.g. involvement in the:-

- Design, supply, implementation or maintenance of the client’s quality system
- Certification audit, or re-audit activities, or
- Some other factor which may affect their judgement

Where impartiality requirements cannot be met, the **MP**, or other competent person(s) may carry out the Certification Manager’s function as long as the above criteria are met.

RESPONSIBILITIES

Client Manager is responsible for;

- Audit programme
- Audit planning and communication with client

Universal Quality Standards Registrar

QP 02 Audit and Certification Procedure

- Task allocation and audit team membership
- Maintain contact with the Client to agree audit requirements, and arrange audit
- Raise a site file (*see below*) and authorise audit
- Communicate audit requirements to audit team with required level of industry competence.
- Review Audit Report(s) and related documentation received from the Auditor.
 - Where the Auditor has recommended the frequency or duration of surveillance is reduced or increased then, if Client Manager agrees, the changes shall be made to the Client Master Card(s).
- Progress receipt of the Client's corrective action plan within the agreed timescale (using diary) as necessary.
- Review acceptability of Client's proposed remedial action, utilising the Auditor and/or Certification Manager as appropriate, and resolve any problems by telephone and fax. Details of agreed resolution shall be recorded.
- Acknowledge acceptability of proposed remedial action to the Client in writing
- Up-date the Client/Site file and database

Contents of Site File

- ii) *Copy of App/Registration Status Sheet (s) (F-022)*
- iii) *Auditor Authorization & Declaration (F-019) indicating the date or target month*
- iv) *Copy of letter sent to the Client confirming the audit*
- v) *Copy of Client's completed application form (F-001) (for initial audit)*
- vi) *Copy of the completed document Review Report (F-006), where applicable*
- vii) *Copy of the Audit Plan (F-007)*
- viii) *Latest review, audit or visit report including the Client's remedial action plan*
- ix) *Blank Audit Plan (F-007) for the next visit*
- x) *Summary Report Form.*

Lead Auditor / Auditor is responsible for;

- Carry out Documentation Review
- Complete and/or review Audit Plan
- Conduct audit according to type, strictly in accordance with ISO 19011, including:
 - Audit preparation
 - Executing the audit
 - Audit documentation *and reporting* – *See Appendix 3*
 - Audit completion
 - Corrective action follow-up

Audit team will also analyse all information and audit evidence gathered during the stage 1 and stage 2 audits to review the audit findings and agree on the audit conclusions.

Universal Quality Standards Registrar

QP 02 Audit and Certification Procedure

Certification Manager has been authorised by the Governing Board to make informed decisions regarding;

- Issue of certificate(s)
- Suspension, withdrawal or reducing scope of certification
- Other actions (e.g. legal action) as long as impartiality requirements are met

Observers & Guides:

- establishing contacts and timing for interviews
- arranging visits to specific parts of the site or organization
- ensuring that rules concerning site safety and security procedures are known and respected by the audit team members
- witnessing the audit on behalf of the client
- providing clarification or information as requested by an auditor