



Document Number: FC/47SM/1

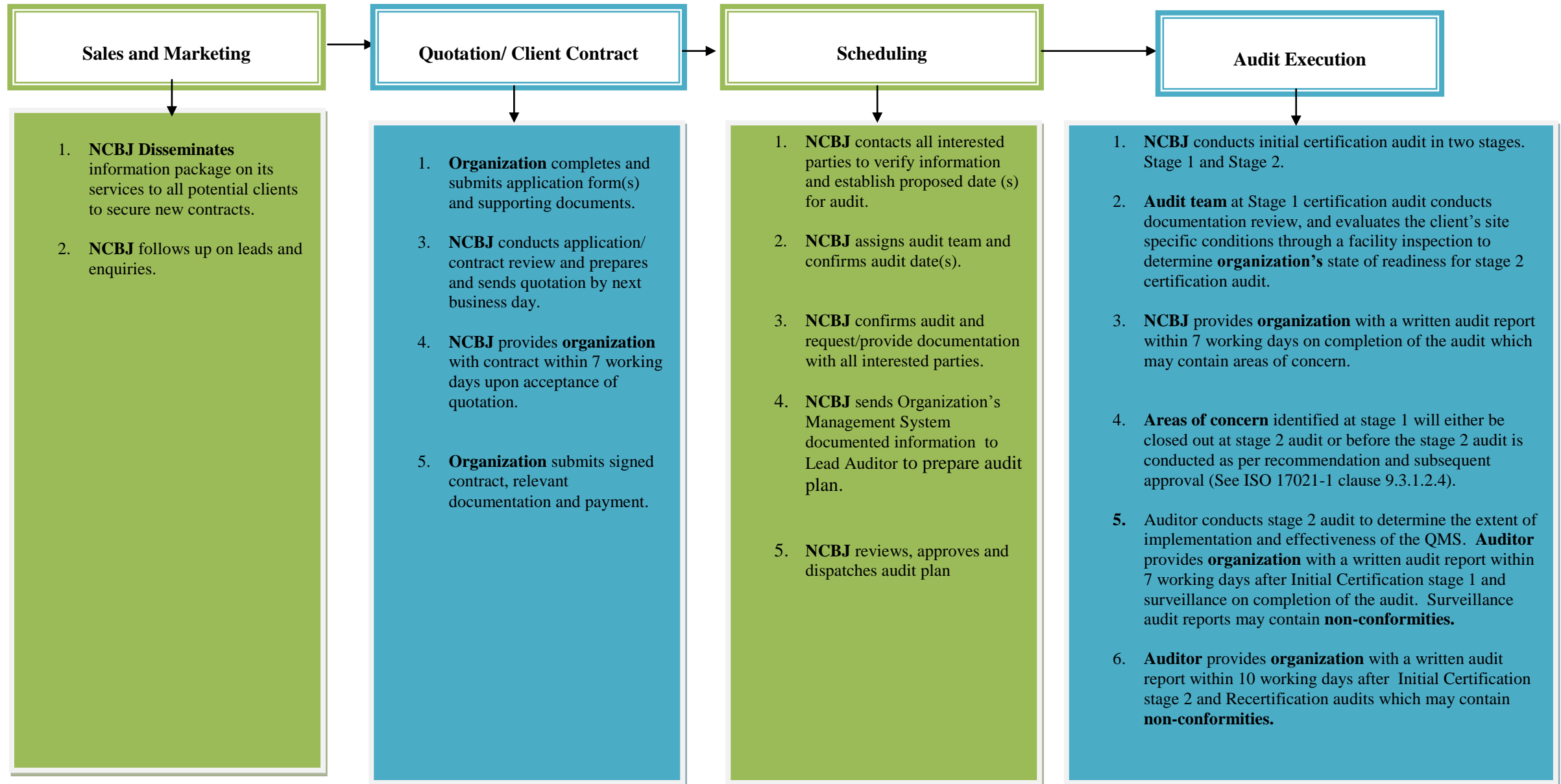
Subject: **Steps to Certification**

Issue Date: 2009-March-27

Revision Level: 5

Approved By: *Manager, Certification Unit*

Last Revised: 2017-May-29





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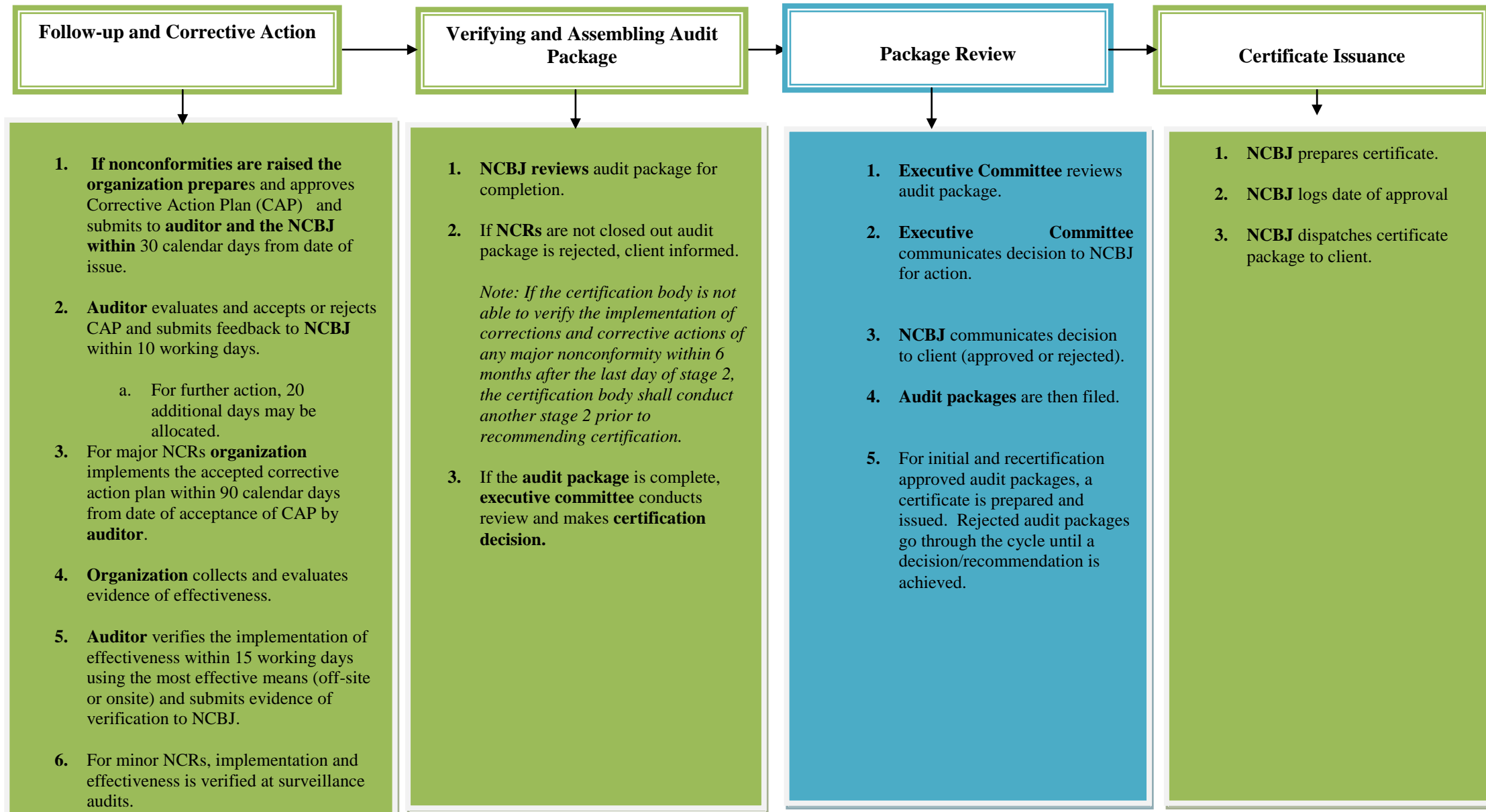
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Surveillance Audits

Re-certification Audits

1. **NCBJ** monitors organization's conformity to their certified management system via surveillance audits which are conducted at least once per year.
2. **NCBJ** determines frequency of audit by but not limited to; the size and complexity of organization's certified facility, system maturity and the number and extent of nonconformities observed.
3. Surveillance audits are to be conducted at least once in a calendar year. The date of the first surveillance audit following initial certification shall not be more than 12 months from certification decision date
4. Surveillance audit is smaller in scope and time is usually 1/3 of initial certification audit time.
5. **Nonconformities** are handled in a similar manner as the initial certification audit.
6. **Implementation** and effectiveness for **Corrective action** may be conducted at the next surveillance audit except for major nonconformities.
7. **NCBJ** reserves the right to conduct special audits during the course of the certification period. Reasons for special audits include but are not limited to :
 - A. Extension of scope
 - B. Customer complaints
 - C. Significant changes to Management System

1. The **Certificate of Conformity** is valid for a period of three years, subject to continued conformance to the standard. In special circumstances where the standard is revised and a transition period is required the three year validity may not be realized based on the publication of the standard and when the recertification is conducted.
2. Recertification activities are to be completed before expiry of certification.
3. A **Recertification audit** may need to have a stage 1 in situations where there have been significant changes to the management system, the organization, or the context in which the management system is operating (e.g. changes to legislation or revision and publication of the related standard).
4. For any **major nonconformity**, correction and corrective actions must be implemented and verified prior to the expiration of certification.
5. 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.
6. The **issue date** on a **new certificate** shall either be on or after the **recertification decision**.
7. If a recertification **audit** or verification of implemented corrections and corrective actions for any major nonconformity is conducted after the expiry date of the certification, then recertification shall not be recommended and the validity of the certification shall not be extended. The client shall be informed and the consequences explained.
8. **NCBJ** can restore certification within 6 months provided that the outstanding recertification activities are completed, otherwise at least a stage 2 shall be conducted. The effective date on the certificate shall be on or after the recertification decision and the expiry date shall be based on prior certification cycle.



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Definitions:

- a) **Nonconformity:** Non-fulfilment of a requirement
- b) **Major Nonconformity:** Nonconformity that affects the capability of the management system to achieve the intended results. Nonconformities could be classified as major if there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements. A number of minor nonconformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity.
- c) **Minor nonconformity:** Nonconformity that does not affect the capability of the management system to achieve the intended results.