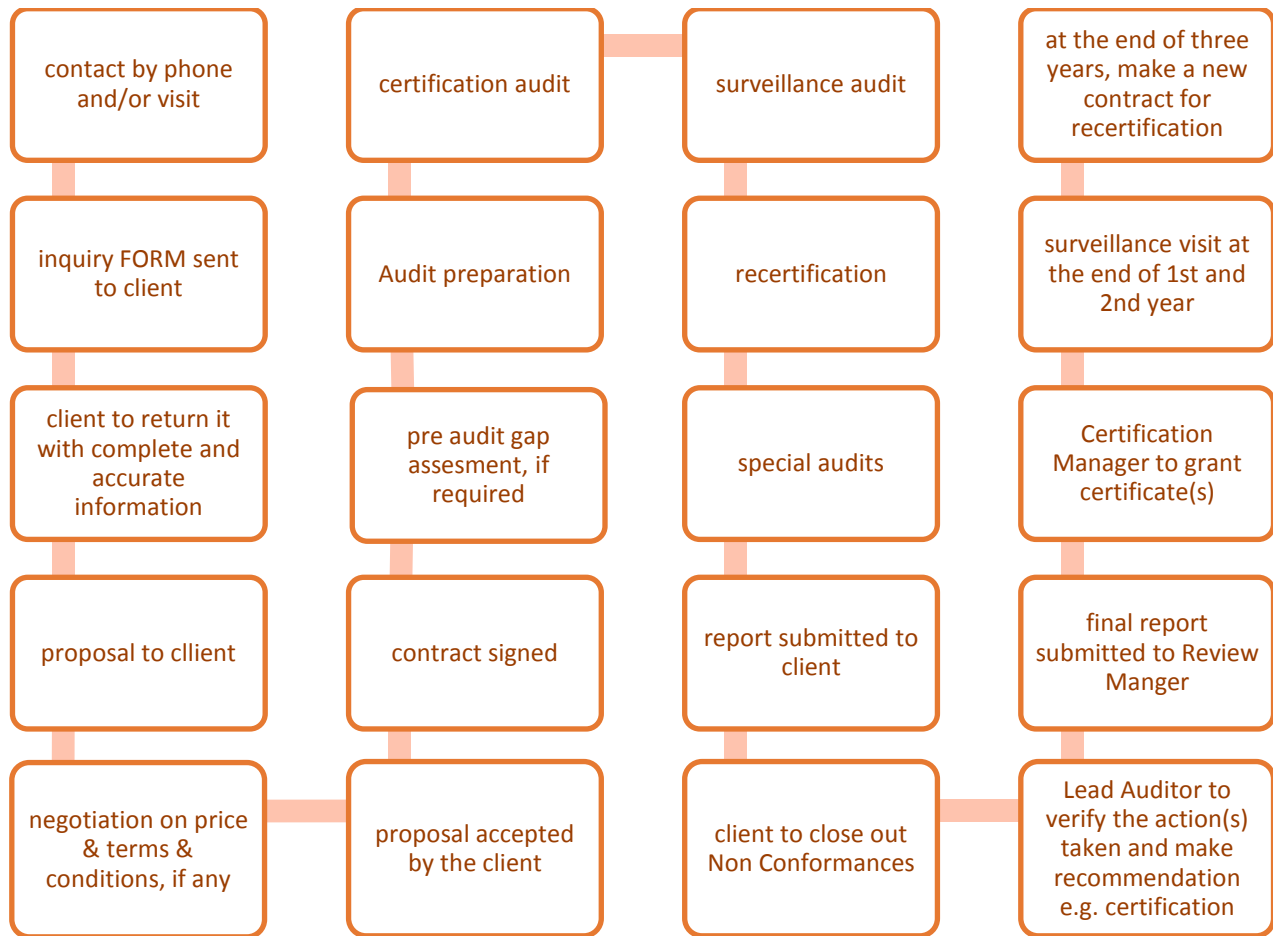


## Certification '(Process Flow)'



## Description of Certification Process

### 1. Pre Audit (optional)

- This will be done only on client request.
- This includes off-site evaluation of the documentation and performance of on-site audit.
- The objective of the pre audit is to identify the level of compliance of the documentation and the implementation of the relevant management system.
- The result of pre audit will be documented and given to the client.

### 2. Audit Preparation

At this stage, the lead auditor along with audit team (as applicable), prepares for the audit. This includes preliminary planning of audit effort, scopes, audit team competency, audit scheduling/ preparation of the detailed audit plan, logistics.

### 3. Certification Audit

The certification audit will be performed in 2 stages, stage 1 & stage 2 (for IFS & BRC there is only 1 stage).

#### Stage 1

## CERTIFICATION PROCESS (Description)

The stage 1 audit shall be performed to verify:

- The client's management system documentation.
- To evaluate the client's location (s) and site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for the stage 2 audit.
- To review the client's status and understanding regarding requirements of the standard(s), 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 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.).
- To review the allocation of resources for stage 2 audit 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 performed, and that the level of implementation of the management system substantiates that the client is ready for the stage 2 audit.

Client will be given an official report on the outcome of stage 1 audit. All critical non-conformities have to be closed and evidence to be submitted prior to the stage 2 audit. All non-critical non-conformities have to be closed and evidence to be shown during stage 2.

If the stage 1 is successful, the Lead Auditor can proceed to stage 2 audit immediately, provided agreed by client. If stage 1 and stage 2 audits are planned consecutively then an offsite document review will be performed prior to the stage 1 audit and a document review report will be submitted to the client. Client will provide the relevant documents for document review prior to stage 1.

Stage 1 will be conducted on-site.

The maximum gap between stage 1 and stage 2 will be 90 days. After the lapse of 90 days, this will be treated as a new certification.

### **Stage 2**

The stage 2 audit will be performed to verify the implementation, including effectiveness, of the client's management system.

The stage 2 audit will take place at the site(s) of the client. It will include at least the following:

- 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 (consistent with the expectations in the applicable management system standard or other normative document).
- The client's management system and performance as regards legal compliance.
- Operational control of the client's processes.
- Internal auditing and management review.

## CERTIFICATION PROCESS (Description)

- 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.

The result of the audit will be informed in the concluding meeting. Client will be given an official report on the outcome of the stage 2 audit.

All critical non-conformities have to be closed and evidence to be submitted within 45 days from the last day of stage 2 for ISO 9001, ISO 14001, OHSAS 18001, ISO 27001, ISO 20000, HACCP, ISO 22000 and RC 14001 standards. All non-critical non-conformities have to be closed and evidence to be shown during next audit.

#### 4. Surveillance Audits

We will perform annual (bi-annual) surveillance audits during the period of the certificate's validity. The surveillance audits will include evaluation of any amended documentation, planning and conduct of the audit, including reporting and registration by ICS-GP.

The result of the audit will be informed in the concluding meeting.

Client will be given an official report on the outcome of the surveillance audit.

All critical non-conformities have to be closed and evidence to be submitted within 30 days from the last day of the audit for ISO 9001, ISO 14001, OHSAS 18001, ISO 27001, and ISO 20000, HACCP, ISO 22000.

All non-critical non-conformities have to be closed and evidence to be shown during next audit.

The annual surveillance audits will have to be carried out every 12 months. The window of 3 months prior to the said dates will apply in both the cases.

The bi-annual surveillance audits will have to be carried out every six months. The window of 1.5 months prior to the said dates will apply in both the cases.

Any delay from the surveillance audit date will result in suspension. If the client goes in for an audit within 90 days (for annual surveillance) and 45 days (for bi-annual surveillance), the certification body will revoke the suspension. However, any further delay; the certification body will dismiss the certificate.

#### 5. Evaluation of Documentation

The documents (including manual, procedures, work instructions ... etc. as applicable) will be evaluated by the audit team on the basis of the requirements of the applicable standard (s). The customer will receive information on the evaluation of the documents. Only when all non-conformities/ unclear items (if applicable) have been dealt, the certification audit will be performed.

#### 6. Recertification

Re-certification audits to be performed minimum of 3 months prior to expiry of the certificate. Generally, only 1 stage of audit and evaluation of documentation are required for re-certification audits. However, if applicable a re-certification audit may be performed in 2 stages.

#### 7. Special Audits

##### Transfer Audits

## CERTIFICATION PROCESS (Description)

Transfer audits for valid certified client(s) from another Certification Body may be undertaken provided the prerequisites of transfer are fulfilled. A transfer audit may be planned along with any of the surveillance/ recertification audits or as a separate audit. The details of the transfer process will be finalized mutually between both the parties.

### **Extension Audits**

Extension audits may be planned to include new scope/ location(s) to the existing certification. This will be done through an amendment to existing contract after a variation order is confirmed. The details of the extension will be finalized mutually between both the parties.

### **Short Notice Audits**

Short notice audits may be needed to address any of the below listed scenarios. Planning of such Audits will consider adequacy of the audit team and the same will be communicated to the client.

1. Complaints against certified clients originating from any source
2. Changes to the current certified management system
3. Follow-up on suspended certificate status
4. Request from any legal, statutory or governing entities who may have an interest in the effectiveness of a certified management system