

1. Application Review

PTS shall conduct a review of the application and supplementary information by using form M4F to ensure that

- The Information about the applicant organisation and its management system is sufficient to develop an audit programme
- Any known difference in understanding between PTS and the applicant organisation is resolved
- PTS has the competence and ability to perform all evaluation activities including competence and capability of certification personnel as M4 procedure (Contract Review)
- The scope of certification sought, the site(s) of the applicant organisations operations, times required to complete audits and any other points influencing certification activity are taken into account.

Based on this review, PTS shall determine the competences it needs to include in its audit team and for the certification decision.

Following review of the application PTS shall either accept or decline an application for certification. If the application is declined the reasons shall be documented on form M4F and the reasons made clear to the client.

2. Certification Process

2.1 Audit Planning

Once the certification audit / assessment contract received, the Certification Manager plans and programmes the audit / assessment (using V4 Audit Plan and V5 Audit Programme / T3 EAD) on the basis on audit / assessment time allocation and audit / assessment assignment, for audits, which is defined as below and raise the audit plan, which states the requirements of the relevant management system standard, scheme document; size and complexity, name, address and scope of the client, date of audit and the audit team. It shall be sent to the auditors at the earliest opportunity (at least giving fourteen working days notice.) On receiving acknowledgement from the lead auditor / auditors, the audit assignment register will be completed and the statement of confidentiality and no conflict of interest will be obtained. The Audit programme shall be sent to the client there after.

The Certification Manager shall confirm the date(s) for the auditor & technical expert detail with the client. If the assessment/audit is to be subcontracted, agreement in writing shall be gained from the client.

For European assessments, the process shall follow all steps as required in CPR (EU) No 305/2011 regulation and PTS internal T procedures.

2.2 Audit Information

The audit programme shall be sent to the client at least ten working days prior to the audit. Confirmation of receipt and acceptance of the date(s) shall be attached to the office copy of audit programme.

2.3 Audits

The audit programme shall follow PTS procedure V5 (Audit programme)

2.3.1 Stage 1 Audit

Planning

Planning shall ensure that the objectives of stage 1 can be met and the client shall be informed of any "on site" activities during stage 1.

The stage one audit is performed by lead auditor at client's premises, to audit the client's management system documentation and to evaluate the client's location and site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for the stage 2 audit.

The lead auditor shall ensure the following objectives of stage 1 are to:

- Review the clients management system documented information.
- Evaluate the clients site specific conditions and undertake discussions with the clients personnel to determine the preparedness for stage 2

- To review the clients status and understanding regarding the objectives of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system
 - To obtain necessary information regarding the scope of the management system,
 - The clients site
 - including:
 - Processes and equipment used
 - Levels of control established (particularly in the case of multisite clients)
 - Applicable statutory and regulatory requirements
- Review the allocation of resources for stage 2 and agree the details of stage 2 with the client
- Provide a focus for planning stage 2 by gaining a sufficient understanding of the clients management system and site operations in context of the management system standards or other normative document
- Evaluate if the internal audits and management reviews are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for stage 2

At least part of the stage 1 audit shall be conducted at the clients premises, this can help to achieve the objectives, as above

2.3.2 Stage 1 Review

In determining the interval between stage 1 and stage 2, consideration shall be given to the needs of the client to resolve areas of concern identified during stage 1. PTS may also need to revise its arrangements for stage 2. If any significant changes which would impact on the management system occur, PTS shall consider the need to repeat all or part of stage 1. The client shall be informed that the results of stage 1 may lead to the postponement or cancellation of stage 2.

The interval between stage 1 and stage 2 audits shall be determined and consideration shall be given to the needs of the client to resolve areas of concern identified during the stage 1 audit. PTS shall also consider any revisions to its arrangements for stage 2 audit.

2.3.3 Stage-1 Audit Conclusions

Stage 1 does not require a formal audit plan/report, documented conclusions with regard to the fulfilment of the stage 1 objectives and the readiness for stage 2 shall be communicated to the client, including identification of any areas of concern that could be classed as a nonconformity at stage 2

2.4 Stage-2 Audits

Stage two audit is to evaluate the implementation, including effectiveness of the clients management system.

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

- Information and evidence about conformity to all the objectives 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 reference.
- The clients management system ability and its performance regarding the meeting of applicable statutory, regulatory and contractual requirements*

*In addition for Environmental Audits to EN ISO 14001, the meeting of applicable statutory, regulatory and contractual requirements shall be evaluated and confirmed that the client has a demonstrably effective EMS to ensure applicable statutory, regulatory and contractual requirements are met through its

- 1) public environmental policy commitment to meeting of applicable statutory, regulatory and contractual requirements (4.2);

- 2) identification and having access to applicable legal requirements and other requirements related to its environmental aspects (4.3.2a);
 - 3) how those legal requirements apply to the organisation's environmental aspects (4.3.2b);
 - 4) objectives/targets/programs (4.3.3)
 - 5) how legal obligations are routinely managed and monitored (4.4.6 and 4.5.1);
 - 6) evaluation of legal compliance (4.5.2);
 - 7) corrective and preventive actions where necessary (4.5.3);
- Operational control of the clients processes in line with relevant standard(s) / CoP / Guidelines / etc.

Particular attention for PAS requirements shall include Section 8.3 of BS EN ISO 9001:2015 -

- Design and development planning (8.3.2)
 - Design and development inputs (8.3.3)
 - Design and development controls (8.3.4)
 - Design and development outputs (8.3.5)
 - Design and development changes (8.3.6)
 - Product suppliers shall hold BS EN ISO 9001 / FPC to BS EN 13108-21
 - Installers shall hold BS EN ISO 9001 / NHSS
- Internal auditing and management review
- Management responsibility for the clients policies

Any links between normative requirements, policy, performance objectives and targets, legal requirements, responsibilities, competence of personnel, operations, procedures, performance data and internal audit findings and conclusions

The client shall be informed of all non-conformities. The client shall be provided with information regarding the additional evaluation tasks needed to verify that the non-conformities have been corrected

2.4.1 Stage-2 Audit Report

After the stage two audit the auditor shall submit their finding & advise by written report.

2.5 Review

The audit team shall analyse all the information / evidence gathered at both stage 1 and stage 2 audits to review and agree audit conclusion. All the information provided by the audit team shall be forwarded to PTS Certification Management team to enable decision to be made, by the decision committee, information shall include audit reports, comments and non-conformities and where applicable the correction and corrective actions taken by the client, confirmation of the information provided as used in the application review and a recommendation whether or not to grant certification together with any conditions or observations.

2.6 Surveillance audits

Surveillance audits are on site audits but are not necessarily full system audits and shall be planned together with other surveillance activities so PTS can maintain confidence that the clients certified management system continues to meet requirements between recertification audits. These will be conducted at least once a calendar year except in recertification years. The date of the first surveillance audit following initial certification shall not be more than 12 months from the certification decision date. Adjustments to frequency of surveillance audits to accommodate seasons or management system certifications of a limited duration may be made. Details to be documented within visit report.

These audits shall include at least (depending on Management system audited):

- internal audits and management review
- a review of actions taken on nonconformities identified during previous audit
- complaints handling
- effectiveness of the management system with regard to achieving the certified clients objectives and the intended results of the respective management system(s)

- progress of planned activities aimed at continual improvement
- continual operational control
- review of any changes
- use of marks and/or any other reference to certification
- Factory Production Control
- Type Testing.
- The clients management system and performance regarding legal compliance

For Environmental Audits to BS EN ISO 14001:2015 - All subsequent surveillance and reassessment audits shall be consistent in line with Stage 2 requirements as section 4.4 above, to enable verification of the management of legal compliance based on demonstrated implementation of the system

The date of the first surveillance audit following initial certification shall not be more than 6 months from the last day of the stage 2 audit.

Surveillance audits shall cover representative areas and functions covered by the scope of the clients management system on a regular basis as above with a 3 year re-certification whereby all areas of the scope shall be audited as W3 process (On Site Audit). Other surveillance activities may include

- Enquiries from PTS to the client on aspects of certification
- Reviewing any clients statements with respect to its operations (eg promotional material, website)
- Requests to the client to provide documents and records and
- Other means of monitoring their performance (eg clients KPI performance on its contracts, customer complaints against the client)

Should a client hold other granted certification and has audits performed by another certification body, PTS shall obtain and retain sufficient evidence, such as reports and documentation on corrective actions, to any nonconformity. (V5 Audit programme)

3. Granting Certificate

The Certification Management Team is appointed from the auditors and experts working with PTS to consider specific recommendations made in relation to granting, maintaining, extending, reducing, suspending and withdrawing certification. Members of the impartiality committee will be independent from the auditing activity. Technical requirements will be arranged as necessary, where technical expertise will cover the certification scope being considered. The technical expertise is impartial & free from commercial or financial pressure.

4. Appeal, Complaints and Disputes

Any appeals, complaints and disputes shall be dealt with in accordance with Certification Management Process W5 (Appeals and Disputes Process) and W10 (Complaints Process).

5. Actions Prior to Making A Decision

PTS shall conduct an effective review prior to making a decision for granting certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification, including that:

- That the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification
- For any major non conformities, it has reviewed, accepted and verified the correction and corrective actions
- For any minor non conformities it has reviewed and accepted the clients plan for correction and corrective action

Failure to fulfil one or more requirements of the management system standard or a finding/situation causes significant doubt about the ability of the clients management system to achieve its intended inputs and it has reviewed and accepted the clients planned correction and corrective action for any other nonconformities

6. Information for granting initial certification

The information provided by the audit team to PTS for the certification decision shall include as a minimum:

- The audit report
- Comments on the non conformities, and where applicable, the corrective actions taken by the client
- Confirmation of the information provided to PTS used in the application review
- Confirmation that the audit objectives have been achieved
- A recommendation whether or not to grant certification, together with any conditions or observations

If PTS is not able to verify the implementation of corrections and corrective actions of any major non conformity within 6 months of the last day of stage of 2, PTS shall conduct another stage 2 prior to recommending certification.

When a transfer of certification is envisaged from another certification body to PTS, sufficient information shall be obtained through this process in order to take a decision on certification

7. Information for granting recertification

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

8. Certification Decision

PTS shall ensure that persons or committees that make decisions for granting or refusing certification, expanding or reducing the scope of certification, suspending or restoring certification, withdrawing certification or renewing certification are different from those who carried out the audits. The individual(s) appointed to conduct the certification decision shall have appropriate competence in line with W1 process.

The person(s) excluding members of committees assigned by PTS to make a certification decision shall be employed by, or be under a legally enforceable arrangements with either PTS or an entity under PTS control.

PTS's organisation control shall be either:

- a. whole or majority ownership of another entity by PTS
- b. majority participation by PTS on the board of directors of another entity
- c. a documented authority by PTS over another entity in a network of legal entities, linked by ownership or board of director control

All persons employed by, or under contract with, entities under organisational control shall comply with all PTS policies, procedures and processes as PTS personnel or under contract with PTS.

All certification decisions shall be recorded including any additional information or clarification sought from the audit team or other sources. (W9F form)

8.1. Certification Documents

PTS shall provide certification documents to the client by any means they choose. No certification documents shall be provided/issued prior to the effective date of the certification decision.

The certification documents shall at least contain:

- The name and geographic location of the client whose management system is certified (or the geographic location of the headquarters and any sites within the scope of a multi-site certification)
- The dates of granting, extending or renewing certification
- The expiry date or recertification due date consistent with the recertification cycle
- A unique identification code
- The standard and/or other normative document, including issue number and/or revision, used for audit of the certified client
- The scope of certification with respect to product/service, process etc as applicable at each site

- PTS name address and certification mark / other marks (accreditation symbol) ensure they are not misleading or ambiguous
- Any other information required by the standard and/or other normative document used for certification
- A means to distinguish any revision of the certification documents from any prior obsolete documents
- The certificate shall be signed by the Managing Director as the defined authorised signatory for certificate issue

9. Directory of Certification

PTS shall maintain a directory of information on certified products and clients. The directory shall contain at least-

- Identification of the product
- The standard(s) and other normative document(s) to which conformity has been certified
- Identification of the client

PTS shall make available / provide information, upon request, about the validity of a given certification.

10. Maintaining Certification

PTS shall maintain a client's certification based on the demonstration that the client continues to satisfy the requirements of the management system standard.

PTS may maintain a clients certification based on a positive conclusion by the audit team leader without further independent review and decision provided that:

- For any major non conformity or other situation that may lead to suspension or withdrawal of certification, PTS has a system which requires the audit team leader to report the need to initiate a review by competent personnel, different from those who carried out the audit, to determine whether certification can be maintained
- Competent personnel of PTS monitor surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity is operating effectively

11. Changes Affecting Certification

All new or revised changes to requirements for certification activities that affect the client shall, following full consideration of effective date of changes and review shall be notified to all clients. PTS shall check that each certified client makes necessary adjustments within the reasonable specified time frame. PTS shall verify the client complies with the new requirements. PTS shall also consider other changes affecting certification, including changes initiated by the client and decide upon the appropriate action necessary.

Certified clients are required to notify PTS without delay of matters that may affect the capability of the management system ie legal or commercial organisation status or ownership, contact address and sites, management and organisation, scope, major changes to the management system and processes, etc. PTS shall also be informed of any intended modification in the product, production process or quality system which may affect product conformity, the client agrees that product shall not be released until PTS has been notified and PTS has determined if investigation is required.

Actions to implement changes affecting certification shall include, if required an evaluation, review and a decision on the changes.

Revised formal certification documentation to either extend or reduce the scope of certification shall be issued, along with issuance of formal certification documentation of revised surveillance activities to either extend or reduce the scope of certification shall be issued.

Records shall be maintained and shall also include the rationale for excluding any activities.