



## INTRODUCTION

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**This document is designed to communicate the BM TRADA general business and accreditation requirements for delivery of Management Systems Certification including Quality Management Systems (ISO 9001), Environmental Management Systems (ISO 14001), Safety Management Systems (ISO 45001).**

**BM TRADAs management system certification services are delivered in accordance with the requirements of ISO 17021-1:2015.**

## OVERVIEW OF THE BM TRADA ASSESSMENT AND CERTIFICATION PROCESS

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All BM TRADA management system schemes have a three year certification cycle. The audit programme for the initial certification cycle will include a two-stage initial audit, surveillance audits in the first and second years following the certification decision, and a recertification audit in the third year prior to expiration of certification. The first three-year certification cycle begins with the certification decision. Subsequent cycles begin with the recertification decision

Prior to each audit in the programme, the BM TRADA office will confirm the details as to the auditor or audit team, the dates and duration of the visit to you in advance. Your auditor will confirm the timings of the visit and any logistical issues prior to each audit.

Each audit will start with an opening meeting and conclude with a closing meeting.

During the opening meeting the auditor will explain to the attendees how the audit will be conducted, the objective and scope of the visit and you will be able to introduce your company. The auditor will agree the details of the plan for the visit with you.

During the closing meeting the auditor will present the audit findings, conclusions and recommendations for certification. Any nonconformities identified during the audit will be presented in such a manner that they are understood by all attendees, and the timeframe for responding should be agreed. The auditor will also summarise any post audit activities including audit reporting and confirm the information about the complaint and appeal handling processes. Finally the attendees will be given opportunity for questions.

At the conclusion of the stage 2 audit and at every surveillance and recertification audit, the auditor will prepare and issue a written audit report which will include the following information:

- Confirmation of the audit criteria and the audit objectives
- Details of the audit scope, particularly identification of the organizational or functional units or processes audited and the time of the audit
- Dates and places where the audit activities (on site or offsite, permanent or temporary sites) were conducted
- An executive summary of the overall findings (conclusions) on the effectiveness of your system in meeting the requirements of the standard and certification recommendation from the audit team
- Details of all nonconformities and opportunities for improvement
- Audit findings with reference to evidence and conclusions, consistent with the requirements of the type of audit
- Details of any significant changes, if any, that affect the management system since the last audit took place
- Any unresolved issues, if identified.

# MANAGEMENT SYSTEMS CERTIFICATION GUIDELINES

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## INITIAL CERTIFICATION AUDIT

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The initial certification audit of a management system is conducted in two stages: Stage 1 and Stage 2.

The Stage 1 audit is completed to:

- Review your management system documented information;
- Evaluate the site-specific conditions and to undertake discussions with your personnel. The auditor will complete a site tour to confirm the processes and products covered by the management system, identify current controls and performance, and familiarise themselves with the site in preparation for the Stage 2 audit.
- Determine your organization's preparedness for Stage 2
- Review your 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
- Obtain necessary information regarding the scope of the management system, including:
  - The site(s)
  - Processes and equipment used
  - Levels of controls established (particularly in case of multisite clients)
- Applicable statutory and regulatory requirements
- Review the allocation of resources for Stage 2 and agree the details of Stage 2
- Provide a focus for planning Stage 2 by gaining a sufficient understanding of your management system and site operations in the context of the management system standard or other normative documents
- 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 Stage 1 must be carried out at your premises in order to achieve the objectives stated above.

In addition, the auditor should review and confirm the contractual arrangements you have in place with BM TRADA including any changes required as a result of the outcome of the Stage 1 audit (including changes to the scope of assessment, duration of the Stage 2 visit, and duration of subsequent surveillance visits). The auditor will also determine the planning, logistics, sampling, etc. that will be used during the Stage 2 visit.

Documented conclusions with regard to fulfilment of the Stage 1 objectives and the readiness for Stage 2 will be provided within the Stage 1 audit report and will be communicated to you, including identification of any Points for Action that could be classified as a nonconformity during Stage 2.

The purpose of Stage 2 audit is to evaluate the implementation, including effectiveness, of the management system. The Stage 2 audit will take place at the site(s) of your organization. It will include the auditing of at least the following:

- Information and evidence about conformity to all requirements of the applicable management system standard or other normative documents
- 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 management system's ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements - our auditor will look at any product and service performance or standards compliance claims that you make in your company literature. They will also check that any applicable legal, statutory or regulatory requirements, relating to your organization and the assessment criteria to be met, have been addressed in your management system. It is however important to note that our auditors will not conduct legal compliance audits
- Operational control of processes - the auditor will check that the processes and process measures are established to control your operational processes
- Internal auditing and management review
- Management responsibility for policies.

# MANAGEMENT SYSTEMS CERTIFICATION GUIDELINES

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## CERTIFICATION DECISION AND CERTIFICATE ISSUE

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After confirmation that any necessary corrective actions have been taken in relation to any identified nonconformities, the audit findings, details and recommendations made in the audit report are subject to an internal review process prior to certification being granted. This is called the certification decision. The certification decision is completed to ensure that the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification, that all nonconformities have been adequately addressed and that the audit objectives have been achieved.

Once a positive certification decision is made, BM TRADA will provide you with a Certificate as evidence that your organization has achieved certification to the relevant standard(s). The certificate will include important data such as your organization's certification number, the standard for which certification has been granted, and the certification start and expiry date (three year validity). The certificate should be displayed where it will be seen by customers and potential customers.

Incorrect use of the certificate can result in a customer being misled as to the extent of your organization's certification. You are obliged to ensure that BM TRADA has been formally notified of the latest address, ownership, changes to key management responsibilities, major management system changes and capability information so that the certificate maintains its currency.

## SURVEILLANCE AUDITS

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Surveillance audits must be conducted at least once per calendar year. The date of the first surveillance audit following initial certification must not be more than 12 months from the certification decision date.

Surveillance audits are conducted so that representative areas and functions covered by the scope of the management system are monitored on a regular basis, and take into account changes to your organization and your management system.

Surveillance audits are on-site audits, but are not necessarily full system audits. They are completed so that BM TRADA and other stakeholders can maintain confidence that your certified management system continues to fulfil requirements between recertification audits. Each surveillance audit shall include as a minimum:

- Continuing top management support
- Internal audits and management review
- A review of actions taken on nonconformities identified during the previous audit
- Complaints handling
- Effectiveness of the management system with regard to achieving objectives
- And the intended results of the respective management system(s)
- Progress of planned activities aimed at continual improvement
- Continuing operational control
- Evaluation of your system(s) for evaluating compliance with legal and other requirements
- Review of any changes, including changes to the context of your organization
- Use of marks and/or any other reference to certification.

# MANAGEMENT SYSTEMS CERTIFICATION GUIDELINES

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## RECERTIFICATION

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The purpose of the recertification audit is to confirm the continued conformity and effectiveness of the management system as a whole, and its continued relevance and applicability for the scope of certification. A recertification audit is planned and conducted to evaluate the continued fulfilment of all of the requirements of the relevant management system standard(s) or other normative document.

The recertification audit must take place three months prior to the certificate expiry date to allow sufficient time for the audit to be completed, any resulting nonconformities to be addressed and the recertification decision to be made prior to your current certificate expiry.

If the recertification audit and any resulting nonconformities are not addressed prior to the expiry date of the certification, then recertification shall not be recommended and your certification will expire. Extensions on the existing certificate expiry dates are not permitted.

The recertification audit shall include an on-site audit that addresses the following:

- 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
- The effectiveness of the management system with regard to achieving objectives and the intended results of the respective management system(s) review of any changes, including changes to the context of your organization
- Use of marks and/or any other reference to certification.

## RECERTIFICATION DECISION AND CERTIFICATE ISSUE

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After confirmation that all nonconformities have been sufficiently addressed, the findings and recommendations made in the recertification audit report are subject to an internal review process prior to recertification being granted.

Once a positive recertification decision is made, BM TRADA will provide you with a Certificate for the new three year certification cycle.

## SUSPENSION OF CERTIFICATION

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Your management system certification may be suspended:

- Voluntarily at your request
- Where your management system has persistently or seriously failed to meet certification requirements
- Where you do not allow surveillance or recertification audits to be conducted at the required frequencies
- When major non-conformities are not addressed in the required timeframe
- When there is a breach of the certification terms and conditions e.g. non payment
- As a result of an investigation for example as a response to a complaint, legal breach etc.

In all cases, we will notify you in writing that your certification will be/have been suspended. This notification will include the time frames and implications of the suspended status.

The duration of the suspension period will be decided on a case by case basis dependent on the reason for suspension. Under suspension your certification is temporarily invalid.

Whilst your certification is suspended you:

- Must notify all customers with whom you have contracts for which approval is a contractual requirement, that your approval has been suspended
- Must not conduct business on the basis of certification
- Must not accept orders in which your approval is a condition of contract
- Must no longer promote your BM TRADA Certification.

# MANAGEMENT SYSTEMS CERTIFICATION GUIDELINES

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## WITHDRAWAL OF CERTIFICATION

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You may request for your contract to be terminated and certification to be withdrawn at any time in line with the BM TRADA - Standard Terms of Business (current version).

BM TRADA will terminate your contract and withdraw your certification where you fail to respond to a suspension of certification notification in the required timeframes.

In all cases you will be notified in writing that your approval has been (or will be) withdrawn, stating the date from which the withdrawal is (or becomes) effective. When your certification is withdrawn you:

- Must destroy all copies of relevant BM TRADA certificates of approval
- Make no further claims to be certified by BM TRADA
- Withdraw from circulation any documents bearing the BM TRADA logo
- Review current tenders and contracts to find out if your certification is a condition of contract and notify any customers imposing such requirements that your certification has been withdrawn
- BM TRADA will notify the withdrawal of your certification to any interested parties by whatever means is considered to be most effective. This will normally include notification to any approved company directory that was notified of your certification.

## CHANGES TO YOUR CERTIFICATION / ORGANIZATION

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You must notify BM TRADA immediately of any changes / situations without delay to circumstances that may affect certification. Examples of such changes include but are not limited to:

- Business name (legal entity) and trading name (where applicable)
- Ownership
- Contact details
- Location, site addresses
- Business activity (scope of certification, Products and Processes)
- System Management Number of employees, covering all shifts and sites
- Billing details
- Any occurrence of a serious incident or breach of regulation necessitating the involvement of the competent regulatory authority.

Please do not wait until the next scheduled audit to notify BM TRADA of any changes. Failure to do so may compromise your certification status.

For any change to your certificate of approval, please submit a formal request for the change to your BM TRADA office. Upon receipt BM TRADA will complete a review to determine if the degree of change is significant to require an additional scope extension audit or if the changes can be assessed at the next scheduled audit. The review will also consider additions or changes to competency requirements for the audit team(s), and additions or reductions in audit duration requirements. We will notify you of any changes by an amended contract.

## COMPLAINTS AND APPEALS

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Disagreements/disputes regarding certification decisions and / or complaints against service delivery levels may be raised with your BM TRADA office. All complaints / appeals must be made in writing.

All complaints will be investigated and the originator of a complaint will be advised of the outcomes, as appropriate. BM TRADA will also investigate legitimate documented complaints, relevant to operation of the system, from customers of your organization and the accreditation body.

You must, at all reasonable times, provide representatives of BM TRADA with access to premises and records for the purposes of investigating such complaints.

For further information please refer to the following documents available on the BM TRADA Website [www.nqa.com/en-gb/bmtrada](http://www.nqa.com/en-gb/bmtrada)

- BM TRADA Guidance to Complaints and Stakeholder Concerns Process
- BM TRADA Guidance to Disputes and Appeals Process