



CERTIFICATION DECISION AND RECERTIFICATION

17021-1:2015

8.2, 9.5-6

ISO

17065:2012
14065:20137.5-7
8.5

Revision	Comment on the changes	Review	Approval	Date
4.23	MyCertif (former name of SmartCert) replaced by Certificates Templates Tool	M Picouleau	F. Joly de Brésillon	August 28,2023
4.22	Conformity to requirements when organisations have virtual site(s).	F. Gomes	CER MS Committee	April 25 ,2023
4.21	Following the replacement of QESIS by NEXUS and iEvaluate and as per Tools procedure, QESIS is replaced by the "Complaints and Appeals Tool" generic name.	M. Picouleau / L Boulkroun	F. Joly de Brésillon	February 15, 2023
4.20	Section 2.2. – Draft certificate – Client logo added Section 5 - Clarification on Surveillance audits reports review	S. Pendse	CER MS Committee	November 28, 2022
4.19	Termination of Bureau Veritas Inspection & Certification the Netherlands Licence to Operate for GMP+	F Joly de Brésillon	CER MS Committee	August 23, 2022
4.18	Surveillance report review requirements modified	F. Gomes	CER MS Committee	July 18, 2022
4.17	In § 6 Changes during the certification cycle, added the sentence "When a new certificate is issued during the certification cycle, the expiry date of the certificate shall not be modified".	E. Gruber	CER MS Committee	March 30, 2022
4.16	Removal of explanation about 'Site Addition Date' in §8.2 as this information is no longer available/needed in the certificate template.	F. Gomes	CER MS Committee	January 14, 2021
4.15	Inclusion of QHSE -CL/ICC TECHNICAL REVIEW CHECKLIST for QHSE schemes	F. Gomes	CER MS Committee	December 15, 2020
4.14	New version of table containing schemes with additional instructions	M. Picouleau	CER MS Committee	November 27, 2020
4.13	Removed from the list of Procedures and templates the following documents: "Instruction ICC India-Visibility over surveillance audits and surveillance file report. rev1.0", "Appendix 1 to Instruction ICC India- Visibility over surveillance audits and surveillance file report. rev1.0" and "Request for Certification"	M. Picouleau	S Ter- Horst	November 16, 2020
4.12	Surveillance report review requirements modified and certificate issue date clarified	R. Sharma	CER MS Committee	November 9, 2020
4.11	§ 1.2.6.Typo corrected in the table: at the intersection of row "Before expiry of certificate " and column "Approval and Certificate Dates" to read "Cycle Start Date – Date of Decision" instead of "Cycle Start Date – Date of Expiry"	R. Sharma	CERMS committee	September 17, 2020
4.10	Simplification of the table summarizes the audit effort requirements § 1.2.6	R. Sharma	CER MS Committee	August 27, 2020
4.9	Establishment of a (re)certification decision committee for ISO 19443 audits.	F. Gomes	CER MS Committee	August 27, 2020
4.8	Recertification decision table aligned with CASCO clarification QS-CAS-PROC/31	R. Sharma	CER MS Committee	March 18, 2020
4.7	Certification decision requirements added in case of delays more than 6 months. Updated in order to address site address changes and delay in certification decisions.	R. Sharma	S. Ter Horst	December 13, 2019
4.6	Removal of clause 1.2.7 Additional instructions related to transition to ISO 9001:2015 & ISO14001:2015	F Gomes	S Ter-Horst	November 15, 2019
4.5	Added requirement of clause 7.6.6 of ANSI FSMS document PRO-FR-105-ISO/IEC 17065 in §5	F Gomes	S Ter-Horst	July 25, 2019
4.4	Additional instructions related to issuance of multi-site certificates	F Gomes	CER MS Committee	July 25,2019
4.3	Added procedures "Instruction ICC India- Visibility over surveillance audits and surveillance file report" and "Appendix 1 to Instruction ICC India- Visibility over surveillance audits and surveillance file report"	S Ter-Horst	P Jeanmart	June 27, 2019
4.2	Update of §6 review of surveillance reports	S Ter-Horst	P Jeanmart	June 18, 2019
4.1	Recertification decision table added in § 1.2.6 and update of § 1.2.7	R Sharma	F. Joly	February 22, 2019
4.0	Additional instructions related to transition to ISO 9001:2015 & ISO14001:2015 in §1.2.7	F. Gomes	F. Joly	August 23, 2018
3.9	Multisite Certificate statement added	R. Sharma	F. Joly	Feb 19, 2018
3.8	Clarification on restoring certificates in §1.2.5 and §1.2.6	A. Miksys	F. Gomes	Mar 20, 2018
3.7	# 7 Changes during the certification cycle updated with APMG RCB ISO IEC 20000 Conditions for Registration Scheme for ITSMS Scheme	R. Zaveri	F. Joly	Jan 18, 2018
3.6	Added case of recertification completed in advance	S. Reemers	E. Gruber	Feb. 10, 2017
3.5	Added ref to instructions for MSC ASC services	S. Reemers	E. Gruber	Jan. 24, 2017
3.4	Added further instructions for issuance of the certificate §5	F. Gomes	P. Jeanmart	Jan. 23, 2017
3.2	Updated instructions for certification restoring §1.2 Electronic signature available for certificates in in §5	S. Reemers	P. Jeanmart	Dec. 19, 2016

3.1	Additional information in § 3	F. Boigelot	P. Jeanmart	Dec. 5, 2016
3.0	Additional reference to "Request for Certification" template Clarification regarding certification package for countries using / not using Siebel in §2.1 Additional info in 4.1 for documentation review	S. Reemers	CER MS Committee	Nov.21, 2016
2.7	Clarifies issuance of multi-site certificates in § 9.1	F. Gomes	P. Jeanmart	Sept. 29, 2016
2.5	Clarifies re-certification dates in §1.2	S. Reemers	P. Jeanmart	Sept. 21, 2016
2.4	Added instructions for draft of certificate, further to ANAB NCR, in §2.2	F. Gomes	P. Jeanmart	Sept. 20, 2016
2.3	Added instruction for closure of NCR in §3 and recertification in §1.2 Removed from §6 necessary technical review of reports in case of issues during surveillance audit, (instruction is already given in Audit Realisation procedure).	F. Gomes	P. Jeanmart	Sept. 13, 2016
2.2	Added ref. to "Audit Realisation" procedure for NCR closure § 2 and 4.1	S. Reemers	P. Jeanmart	May 2, 2016
2.1	§4.1 wording for appendix 4	S. Reemers	P. Jeanmart	March 18, 2016
2.0	Major clarifications	S. Reemers	P. Jeanmart	March 15, 2016
1.3	- Further information on recertification process and dates on certificate - Transferred certification cycle figure to Audit Preparation - Accredited centre/office is replaced with critical location	S. Reemers	P. Jeanmart	Feb. 17, 2016
1.2	Slight change to the certification cycle diagram in § 2.2	S. Reemers	P. Jeanmart	Feb. 10, 2016



Procedures:

- Marks and Logos



Templates

- SF01 Application Form per product
- QHSE -CL/ICC TECHNICAL REVIEW CHECKLIST

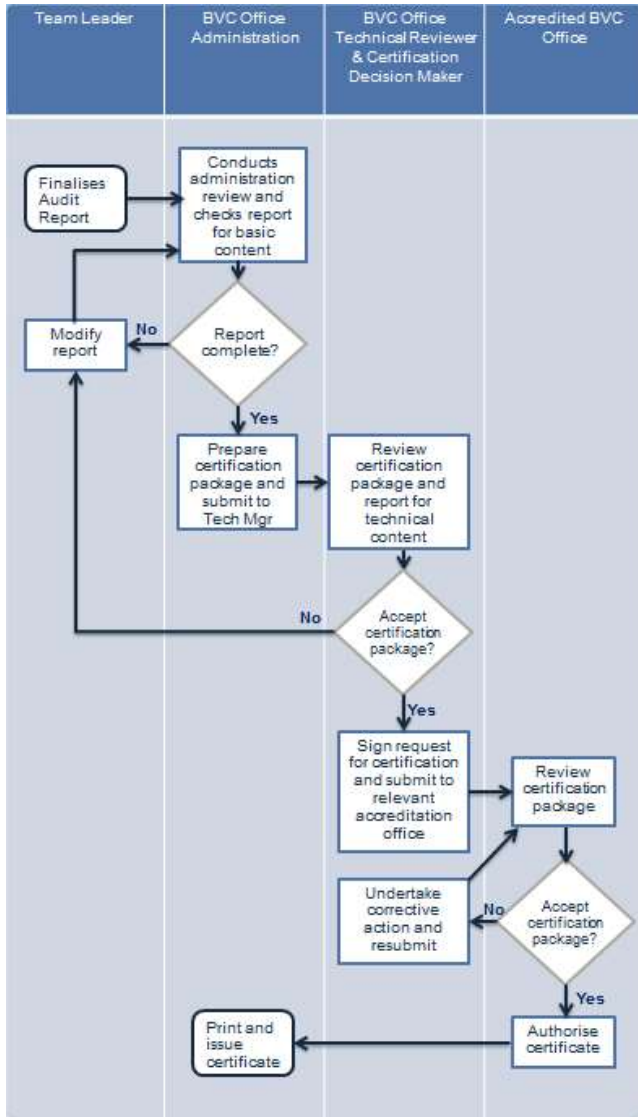
This document defines generic instructions applicable to all schemes and products. Additional instructions are defined in Appendices:

QHSE	Transportation	Enterprise Risk Management	Energy sustainability & ETS	Social Responsibility	Food
<ul style="list-style-type: none"> ▪ ISO 13485 ▪ NSQ-100 	<ul style="list-style-type: none"> ▪ Aerospace ▪ IATF 16949 ▪ IRIS 	<ul style="list-style-type: none"> ▪ GDPR ▪ ISO 20000 ▪ ISO 22301 ▪ ISO 27001 	<ul style="list-style-type: none"> ▪ EU ▪ CORSIA ▪ EUTR ▪ FSC CoC ▪ FSC FM ▪ ISO 14064 ▪ ISO 50001 ▪ RSPO 	<ul style="list-style-type: none"> ▪ SA 8000 ▪ SMETA 	<ul style="list-style-type: none"> ▪ BRC ▪ EN 15593 ▪ FSA ▪ FAMI-QS ▪ FSMA ▪ FSSC 22000 ▪ Global G.A.P. ▪ IFS ▪ ISO 22000 ▪ ASC Coc ▪ ASC Farm ▪ MSC ASC CoC ▪ MSC Fishery

1 Certification Process

1.1 Initial certification

The initial certification process is organized according to the flowchart below. The certification decision shall be made within six months after the last day of the Stage 2 audit. In case this is not possible, a new audit equivalent to stage 2 mandays shall be done. The ICC or LTM may deviate from this condition provided there is an internal incident raised in Complaints and Appeals Tool that provides a documented justification. A minimum one day follow up however shall be done to audit the management functions and confirm the conclusions to grant certification. In no case, a certification decision shall be taken more than 12 months after the last day of the Stage 2 audit and client shall be treated as new case. Any sector specific scheme requirements take precedence.



Certification cycle begins with the certification decision and ends 3 years later minus one day.

After twelve months from expiry, any certification decision taken for a client gives a new certificate, which does not include any dates from previous certification cycles.

1.2 Recertification

1.2.1 Validity of certificate

The validity of a certificate cannot be extended. The certification can be:

- renewed before expiry; or
- restored within 6 months from expiry date.

1.2.2 Certification cycle dates

A renewed or restored certificate follows the initial certification cycle dates, and expiry date is based upon initial cycle. When the certification is renewed or restored, a new certificate is delivered to the client. This is submitted to a certification decision following main steps of the initial process, and recertification audit shall be fully closed out.

Renewal of certification is decided within the 3-year cycle, before the certificate expiry date. The recertification audit is scheduled 3 to 4 months before the expiry date of the current certificate.

1.2.3 Recertification audit

Recertification shall not be recommended if recertification audit is not completed, that includes:

- closure of major non-conformities;
- review and acceptance of plan for corrections and corrective actions for minor non-conformity.

When the certification is not renewed nor restored, the client shall be informed, and the consequences shall be explained.

1.2.4 Recertification is completed before the expiry date of the certificate

In case the recertification requirements are completed before the expiry date of the certificate, the new certification cycle is based on three years from the previous or original expiry date, there is no change to previous certification cycle.

The first three-year certification cycle begins with the certification decision. Subsequent cycles begin with the recertification decision.

The issue date on a new certificate shall be on or after the recertification decision.

If a renewal audit is planned in order to advance the certification start date, the new cycle starts from the new certification decision.

Certificate expiry date is based on previous certification cycle. There is no gap between certification cycles. The new certificate contains 3 dates.

1.2.5 Recertification is completed within 6 months of the expiry date of the certificate

Following expiration of certification, the certificate can be restored within 6 months if the outstanding recertification activities are completed.

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.

This is considered to be a gap between certification cycles. The new certificate contains 5 dates.

1.2.6 Recertification is completed after 6 months of the expiry date of the certificate

Six months after the expiry date of the certificate, at least a stage 2 audit shall be performed and fully closed before new certification decision can be done. Stage 1 audit is mandatory after 12 months of the certificate expiry date. The certification cycle is a new one; it is not based upon dates from previous cycle(s).

The following table summarizes the audit effort requirements under various situations of recertification audit and decision taken

Re-Certification Decision Taken	Audit Man-day	Approval and Certificate Dates
Before expiry of certificate (NO GAP)	Audit as per Re-Cert Audit-days	Original Approval Date – Maintain Previous Cert. Exp Date – NA Recertification audit Date – NA Cycle Start Date – Date of Decision Cycle End Date – Align with Previous Exp. Date
After expiry of certificate but within 6 months (GAP)	Audit as per Re-Cert Audit-days	Original Approval Date – Maintain Previous Cert. Exp Date – Date Recertification Audit Date – Date Cycle Start Date – Date of Decision Cycle End Date – Align with Previous Exp. Date
After expiry of certificate and after 6 months but within 12 months (NEW CYCLE)	Audit as per Stage 2 Audit-days	Original Approval Date – Date of Decision Previous Cert. Exp Date – NA Recertification audit Date – NA
After 12 months from expiry of certificate (NEW CYCLE)	Audit as per Stage 1 and Stage 2 Audit days	Cycle Start Date –Date of Decision Cycle End Date – Date of Decision +3 years -1 day

Note: For some schemes, specific requirements will apply

2 Administrative Review

2.1 Certification package

The administrative personnel collect the certification package and review completeness. The package includes:

- Application Form;
- Signed contract;
- Contract Review Form;
- Audit Report;
- Major and minor non-conformities cleared as per “Audit Realisation” procedure;
- Surveillance plan;
- Copy of previous certificate, in case of recertification or transfer;
- Draft of certificate showing all information to be included.

The certification package is uploaded in Siebel.

For countries not using Siebel, it is stored locally. The administrative personnel/Team Leader shall submit the certification package to Technical Reviewer.

2.2 Draft of certificate

For countries not using Siebel, the certificate is drafted from templates available in CER MS and includes:

- Name and geographic location of each client whose management system is certified. Multi-site certificates shall identify the headquarters site and all other sites. Sites can be listed in an annex to the certificate, with the head office shown on the main page of the certificate, or a one page certificate per site can be issued.
- The address, precise enough to identify the location of the company without any ambiguity. Where countries are using P.O. Box or Plot Number, the identification of the company shall be as shown on the business license of the organization. Evidence to support this shall be retained in the local certification entity files.
- When the client has virtual site(s)¹, the virtual site(s) shall be identified by referencing “virtual” or “virtual site(s)”.
- When a certified organization has virtual site(s) or undisclosed location(s)², the site(s) or location(s) shall be identified using one or more of the following options:
 - registered legal entity address;
 - address for receiving legal correspondence;
 - registered office/agent address;
- the website uniform resource locator (URL).The effective date of granting, expanding or reducing the scope of certification, or renewing certification, which shall not be before the date of the relevant certification decision.
- The expiry date or recertification due date consistent with the recertification cycle.
- The scope of certification with respect to product (including service), process, etc., as applicable at each site. When the scope is different for specific sites this shall appear on the certificate. The scope of each site detailed on the appendix shall be clearly defined.
- Management system standard and or other normative documents to which management system is certified, with the correct version date/edition (e.g.: ISO 9001:2015, ISO 14001:2015).
- Office addresses and Bureau Veritas Certification mark:
 - The local office address signature is not a mandatory requirement however certificates are normally signed by the Certification or Technical Manager on behalf of BVCH SAS UK Branch (UKAS) or BVCH SAS (ANAB.)
- Unique Certificate number: In case of revised certificate during the cycle, a version number with the revision date.
- Client Logo if requested by client.

Note 1: Virtual location where an entity performs work or provides a service using an on-line environment allowing persons irrespective of physical locations to execute processes.

Note 2: For security and/or safety reasons the physical location of an organization is not able to be identified to the public.

There could be instances wherein an organization operates with multiple legal entities from the same physical address. In such a case, following options can be used for issuing the certificates:

- Listing/Mentioning the respective entities at the top of the main page of the certificate ending with "A part of XXX Group of Companies" OR "A XXX Group Company";
- Alternatively, individual entity-wise certificates may be issued under the single certificate contract ensuring the linkage of each certificate to the main certificate number allocated to the file to ensure unique identification requirements. The similar action shall be implemented for all other Accreditation Bodies.

2.3 Technical review

The Technical Reviewer reviews the certification package, to make recommendation for certification or not, and records a comprehensive description of how a NCR was closed and based on which evidences. In case of:

- Deviations from BVC procedures, these shall be justified, documented and mentioned in the recommendation.
- issues preventing certification, the production centre shall undertake corrective actions and these shall be implemented prior to recommendation and certification decision.

For ISO 9001, ISO 14001 and ISO 45001, the QHSE -CL/ICC TECHNICAL REVIEW CHECKLIST shall be used to record Defects/Queries and its closure as an evidence of review.

The Technical Reviewer submits to Certification Decision Maker the certification package with recommendation, positive or negative. Both shall not have been part of the audit team.

3 Certification Decision

3.1 Responsibilities

Non-critical location (otherwise known as performing country) cannot make a certification decision. For UKAS, ANAB and other global accreditation, the critical location shall review the documentation of the performing country for certification decision:

- signed by LTM;
- Application information;
- Certification proposal including terms and conditions, duly signed by BVC and Client representative;
- Approved Contract review;
- Audit Report;
- NCRs cleared as per “Audit Realisation” instructions;
- For recertification a copy of the existing certificate;
- Copy of the Audit plan as submitted to client before the audit, with evidence of communication.

For local accreditation, the review is done in local critical location. The critical location records the results of the review. The Technical Reviewer provides certification recommendation to local certification entity as table below:

Local Certification Entity	Accreditation	Who makes the Certification Decision?
Performing countries	UKAS, ANAB Other accreditation	Critical location / ICC Relevant critical location / ICC

Critical locations	UKAS, ANAB	Local critical location / ICC
	Other global accreditation	Relevant critical location / ICC
	National accreditation	Local critical location

The locations approved to make certification decision for global accreditations can be found in Technical Appendix 4 of IFA. The critical location sends approval to issue a certificate to performing country. Copy of approval is recorded by both centres.

For ISO 19443 audits, certification decision shall be done by a Certification Decision Committee composed by, at least, the ICC Manager and a qualified ISO 19443 auditor.

4 Issuance of Certificate

Certificate is issued only after a positive certification decision.

If the decision is not to grant certification, the client shall be notified and the reasons for such decision shall be identified.

Performing countries generate certificates locally, after they received the approval from authorised critical location. A copy of the certificate is provided to the critical location and recorded locally. The certificate is provided to the client.

For countries using Siebel, the certificate is generated from the tool, and shall include an electronic signature for security reasons.

For all global accreditations under ISO 17021 for which an electronically signed PDF certificate can be generated with Siebel, the legally binding certificate document, issued by Bureau Veritas and sent to the client, shall always be the electronically signed PDF certificate. A hard copy with a handwritten signature can be sent to the client too as an option, if requested by the client, but shall not replace in any case the electronically signed PDF certificate. ISO 17021 does not require a handwritten signature on a certificate for it to be valid, nor is it requested by any global accreditation body. The certificates shall mandatorily be generated by using the templates available in Siebel.

Regarding local accreditations, the policy shall be defined at local level, however I&F TQR strongly recommends using the electronically signed PDF certificates whenever they are available, unless a specific local requirement prevents it. For ISO 17065 the certificate shall bear a handwritten signature.

Countries issuing the certificates must provide reference to Scheme owner unique certificate number together with certificate number automatically generated by the Certificates Templates Tool

5 Review of Surveillance Reports

All performing countries shall review the surveillance audit reports to monitor Auditor performance, and confirm that the certification activity is operating effectively as following:

- Min two reports per scheme per country per quarter;
- For all surveillance audits where major nonconformity was raised;
- Any other situation that may lead to suspension or withdrawal of certification;
- Review shall be performed by country technical manager or his/her nominee within 90 days from last day of the audit.

Review should be performed preferably using checklist and defects, if any, shall be communicated to the auditor. Defects noted during the review shall be addressed in the audit report and revised report sent to the client and uploaded in the system.

Performing countries shall send the review records to their respective CL/RCL/ICC on quarterly basis.

Based on review records, CL/RCL/ICC may advise review of additional reports

6 Changes During the Certification Cycle

Changes affecting the scope of certification (activities or sites) require approval from the critical location, and issuance of a new certificate.

The client shall complete and submit Application Form (at least the document SF01) but is scheme dependent (see additional instructions for specific services). This enables gathering of additional information, so the normal certification process is understood and considered, including calculation of the number of audit days, effect on the existing audit programme and specific points related to the scheme or standard. Any change in the location and address of the client during the cycle shall require a new contract to be signed and a new certificate issued only after a site visit for confirming the suitability of work environment, infrastructure and, operational controls required in the scope of certificate. A new certificate however can be issued without a site visit if there is only a change in the name which can be verified by review of legal documents reflecting the name change. When a new certificate is issued during the certification cycle, the expiry date of the certificate shall not be modified.

Where a client requires a second and different accredited certificate after the initial certification decision has been made and the certificate issued, this requires a new and separate certification decision.

A copy of the certificate is sent electronically to the ICC and kept in the files.

7 Multiple Standards on One Certificate

This is allowed where all schemes are under same accreditation and same scope.

8 Multi-site Certification

8.1 Scope

Certification can cover multiple sites if each site included in the scope of certification has been individually audited by the certification body or audited through sample.

Certification documents shall contain the name and address of the central office of the organization and a list of all the sites to which the certification documents relate, or site-specific certificates can be issued.

Regarding virtual sites and undisclosed locations, refer to clause 2.2 above.

The scope or other reference on these documents shall make clear that the certified activities are performed by the network of sites on the list. If the certification scope of the sites is only issued as part of the general scope of the organization, its applicability to all the sites shall be clearly stated. Where temporary sites are included in the scope, such sites shall be identified as temporary in the certification documents.

In case site-specific certificates are to be issued, these can be done, subject to same certificate number (COUYY.XXXXU), as provided in multi-site template, suffixed with 1,2,...n (e.g. COUYY.XXXXU/1 of n, COUYY.XXXXU/2 of n, ..., COUYY.XXXXU/n of n), where n is the total number of sites covered under the multi-site contract.

The first page of the multi-site certificate shall indicate the name and address of the legal entity being audited and which has signed the contract (generally the HO / Central Location).

The scope on the first page needs to be the overall consolidated scope for all sites put together, and the annexure will have the site-wise names, addresses and the respective scope wording.

Certification documents may be issued to the client for each site covered by the certification under condition that they contain the same scope, or a sub-scope of that scope, and include a clear reference to the main certification documents.

8.2 List of sites

The list of sites shall be kept updated by local certification entity, upon information obtained from the client, for instance, closure of any of the sites covered by the certification.

Failure to provide such information is considered as a misuse of the certification, and BVC shall take appropriate actions.