1. Purpose

This guide provides the certification registration applicants and registered organizations with up-to-date information according to certification registration as well as the duties and maintenance, suspension and cancellation criteria for certification-related procedures, handling of documents generated as a result of audit, and certification maintenance. Its purpose is to provide reliability.

2. Scope of application

Applies to the provision of information related to the ITS authentication service.

3. Responsibilities and Authority

3.1 Head of Certification Department

(1) Revision and maintenance of the certification procedure guide according to the change in certification related procedures

(2) Summary of the core contents of the certification process (4. Certification process guide) Publicly disclosed on the ITS website

(3) Certification approval, suspension, and cancellation status are publicly disclosed on the ITS website periodically

3.2 Head of each department

Use of the contents of the certification procedure guide when providing certification information

4. Terms and definitions

4.1 Management system

It is a term used when collectively expressing the quality, environment, safety and health management system.

4.2 Certification organization

It is a term used when expressing both the certification application organization and the certification organization.

5. General

5.1 Legal and contractual matters

5.1.1 The notation of ITS in Korean and English is as follows.

(1) Korean: ITS Certification Center

(2) English: ITS Certification Co., Ltd.

5.1.2 ITS was established as follows in accordance with the requirements of Chapter 4, Section 1 (Establishment of a stock company) of the Commercial Act for the purpose of supporting the establishment of a management system in the domestic industry and contributing to strengthening national industrial competitiveness.

(1) Corporate name (group name): ITS Certification Center

(2) Representative: Joon-Young Park

(3) Corporate registration number: 110111-3253278

(4) Address: 1302, 63-ro 32, Yeongdeungpo-gu, Seoul (Yeouido-dong Life Combi B/D)

5.1.3 Certification contract

ITS must sign a legally binding contract in accordance with the " Certification Application/Contract " procedure in order to provide certification activities to the certification organization . In addition, if there are multiple workplaces of the organization, the certification department head must approve the certification and ensure that a legally binding contract is signed between the ITS that issues the certificate and all the workplaces included in the certification scope.

5.1.4 Responsibility for Certification

(1) Responsibility for maintaining conformity

Responsibility for consistently achieving the intended results of implementation for management system standards and for conformity to certification requirements rests with the certification body, not the certification body.

(2) Responsibility for certification decisions

The ITS is responsible for evaluating sufficient objective evidence on which the certification decision is based, and based on the audit conclusion, it is determined that certification is approved if there is sufficient evidence of conformity, and that certification is not approved if there is insufficient evidence of conformity. Down.

However, since the audit is conducted on the basis of sampling within the organization's management system, 100% conformity to the requirements is not guaranteed.

The ITS is responsible and authorized for decisions related to certification, including approval, rejection, maintenance of certification, expansion or reduction of the scope of certification, restoration after renewal, suspension or suspension, or revocation of certification .

5.2 Impartiality Management

5.2.1 ITS understands the importance of impartiality in carrying out management system certification activities, manages conflicts of interest, and establishes a policy to ensure objectivity of management system certification activities and posts them on the ITS website.

5.2.2 ITS establishes a process to identify, analyze, assess, handle, monitor and document the risks associated with performance conflicts arising by providing certification, including all conflicts arising from their relationships, to ensure impartiality. If a threat occurs, iTS is a ' conflict of interest risk management procedures , according to ~~manage to demonstrate the threat, and document the risks that remain.~~

Methods to eliminate or minimize the threat should be documented and demonstrated,

and the remaining risks   should be documented.

5.2.3 If a relationship presents an unacceptable threat to the impartiality of the ITS, the ITS does not provide that certification.

5.3 Liability for compensation

5.3.1 In preparation for the risks arising from certification activities to the certification organization, the ITS is responsible for indemnification arising from the operation of ITS in each field of activity and geographical area operated by the ITS. I am subscribed.

5.3.2 ITS when inflicting financial damages to the certified organization or a third party due to professional negligence of the ITS,   " Certification Authority Liability Management procedure ' has the obligation to indemnify according to. do.

5.4 Compliance with certification organization

(1) The certification organization must comply with the requirements of the following laws and regulations related to the certification system.

① Quality Management and Industrial Product Safety Management Act

② Act on the Promotion of Conversion to Environmentally Friendly Industrial Structure

③ Occupational Safety and Health Act, etc.

(2) At the time of the audit, the following items shall be allowed in order to investigate the system construction related documents and confirm the implementation status.

① Access to all places (sites)

② Reading of records on system construction and maintenance

③ Interview with the staff of the certification organization

④ Comply with certification requirements and provide all information necessary for audit

(3) The certification organization shall comply with the following matters after registration of certification.

① The system must be maintained to meet the certification standards and ITS audit standards.

② In case of any change specified in 6.5.3, it must be notified to ITS within 1 month after the occurrence.

③ Cooperation should be made so that all audits, such as regular or special follow-up management audits, can be carried out smoothly according to the standards of the ITS.

④ Regarding the operation of the certification system , it must be allowed for the witnessing and special follow-up audits conducted by the accreditation body ~~(KAB)~~ .

⑤ You must follow the guidelines for using and promoting certification marks.

⑥ The audit fee must be paid within the specified deadline.

⑦ Issued nonconformity matters must be corrected within the required time limit and submitted to the ITS.

⑧ All certification related documents generated between the ITS and the certified

registered company during the certification application and certification maintenance process must be kept.

⑨ Complaints and corrective actions received from stakeholders, customers, and employees related to the certified system must be recorded, and the records must be submitted when requesting ITS.

⑩ When revising the manual, the list of revised manuals must be submitted to ITS.

⑪ The certification organization should not use certification in a way that could damage the reputation of ITS, and should not mislead certification as if it was certified by an unauthorized organization when judged by the certification body.

6. Management of information related to certification activities

6.1 Sharing of public information through Internet homepage

The following information can be accessed/searched through the Internet homepage of ITS.

(1) Audit process

(2) Process for approval, rejection, maintenance, renewal, suspension, restoration, cancellation of certification, or expansion or reduction of the scope of certification

(3) Types of management systems and certification schemes operated by the certification body

(4) Use of certification body name and certification mark or logo

(5) Process for handling requests for information, complaints and appeals

(6) Policy on fairness

(7) Inquiries and responses related to authentication activities

6.2 Provision of information upon request

ITS shall provide the following information at the request of interested parties.

However, if necessary for security reasons, access to specific information may be restricted at the request of the organization.

(1) Geographical area in which ITS operates

(2) Approved certification status

(3) Name of the specific certified organization, related standard documents, scope and geographical area (city and country)

(4) Questions and answers related to authentication activities

6.3 Use of Certification Mark

(1) The certification organization is authorized to use the certification mark for the management system certified by ITS.

(2) all matters relating to the use of the certification mark is posted on the ITS website , the use of certification marks and promotion procedures " can be yeonram through.

6.4 Confidentiality of certification activity information

(1) ITS maintains the confidentiality of confidential matters acquired during the certification audit process of the certification organization, unless it is recognized that there is a legitimate necessity, and uses the information on the certification organization without the written consent of the certification organization, or Do not divulge it to anyone.

(2) ITS is for confidentiality for the, " confidentiality and the public information management procedures , and established by operating the authentication in case, hayeoteum disclose such information as by law hayeoteul ITS the public information of the authentication organization Notify the organization.

6.5 Information exchange between the ITS and the certification organization

6.5.1 Information on certification activities and requirements

ITS shall provide and update the following information to the certification organization.

Provision of information on this can be presented to the certification organization through the ITS Internet website, contract, proposal, audit plan, and certification procedure guide.

(1) Details of initial certification and certification maintenance activities, including processes for application, initial review, follow-up audit and certification approval, rejection and maintenance, expansion or reduction of certification scope, renewal, suspension or restoration of certification Technology

(2) Normative requirements for certification

(3) Information on fees for application, initial certification and certification maintenance

(4) Requirements of the certification body to the organization

① Compliance with certification requirements

② Initial authentication. Providing necessary documents for follow-up management, renewal certification and complaint resolution, and implementing all necessary preparations for conducting audits, including access to all processes, locations, records and personnel.

③ If applicable, consultation on acceptance of the participation of observers (eg, accreditation auditor or auditor trainer)

(5) Documents describing the rights and obligations to be observed by the certified organization, including requirements, in any form of communication for certification pursuant to Section 6.3.

(6) Information on complaints and appeals procedures

6.5.2 Notification of change by certification body (ITS -> certification organization)

ITS handles changes in authentication requirements as follows.

(1) Notify the certification organization of the changes and implementation date with a notice period of at least one month.

(2) If requested by the ITS, the certification organization submits the documented detailed

implementation plan or results to the ITS according to the changed requirements.

(3) The ITS checks the implementation status of the changed requirements during regular follow-up or update audits, and checks them within the planned period by other appropriate methods unless otherwise specified.

6.5.3 Notification of change by the certification organization (certification organization -> ITS)

(1) The certification organization shall notify the ITS of any significant changes related to the operation of the management system as follows.

① Legal, commercial, status or ownership.

② Organization and management (eg core management, decision makers or technical staff)

③ Contact address and place of business

④ The scope of operation of the certified management system

⑤ Significant changes to the management system and process

⑥ If a certified organization has experienced a serious incident or a violation of the law that requires the relevant regulatory authorities to be involved

(2) When the ITS receives changes from the certification organization, it shall reflect them in the audit program and take necessary measures.

① Conduct a special review to confirm changes or

② Confirmation of changes during regular review (post, update)

7. Certification/Audit Process

7.1 Activities prior to certification

7.1.1 Application

Certification organizations if the ITS application for certification is required, " Application and Questionnaire ' to reflect the following information should be submitted to the ITS.

(1) Scope of the requested certification

(2) Details related to the applicant organization required by the applicable certification scheme, including the name of the applicant organization, the address of the workplace(s), the organization's process and operation, human and technical resources, departments, relations, and other relevant legal obligations.

① For OHSMS, the above human (*) resources should include detailed information about the number of people working at the organization's workplace as well as the number of people working away from the workplace.

② Health and safety risk identification data related to major hazardous risk factors and processes

③ Information on major hazardous substances used in the process and all legal obligations relating to applicable health and safety regulations

(3) Identification of all outsourced processes that affect conformity to requirements.

(4) Standards (ISO 9001, ISO 14001, etc.) or other requirements for which the applicant organization wants to be certified

(5) Whether to provide advice related to the management system subject to certification and, if so, the provider

7.1.2 Application Review

(1) ITS before proceeding to the audit to ensure that: " Certification Application / contract procedures ' shall review the application forms and accompanying information received from the certification organization in accordance with.

① Information on the application organization and management system is sufficient to develop an audit program.

② Known differences in understanding between the certification body and the applying organization are resolved.

③ The certification body has the competence and ability to perform the relevant certification activities.

④ Considering the scope of certification applied, the location(s) of the applying organization, the time required to complete the audit, and other issues that affect the certification activities (language, conditions for safety, threats to impartiality, etc.).

(2) After reviewing the application, ITS shall accept or reject the application for certification. If the application for certification is rejected as a result of the review of the application, the reason for the rejection should be documented and the application organization should be clearly informed.

(3) Based on the review of these applications, the ITS shall determine the competence necessary for the audit team and the competence necessary for the certification decision.

7.2 Audit plan

7.2.1 Determination of audit objectives, scope and criteria

(1) Purpose of audit

The purpose of the audit is as follows

① Determine whether the certification organization's management system or part of it meets the audit criteria

② Determination of the capabilities of the management system to ensure that the certification organization meets the legal, regulatory and contract requirements

③ Determination of the effectiveness of the management system to ensure that the certified organization can reasonably expect to achieve their specific goals.

④ Identify potential areas for improvement in the management system, if applicable

(2) audit scope

The scope of the audit includes the degree and boundary of the audit, such as the workplace, organizational unit, activities, and processes to be audited. If the initial audit

and renewal audit process consists of two or more audits (eg, multiple site audits), the scope of individual audit may not include the entire scope of certification, but the scope of the overall audit must match the scope of the certificate.

Activities, products and services controlled or under the influence of the organization that may affect the organization's OHSMS performance should be included in the OHSMS.

Temporary workplaces, such as examples of construction sites, should be included in the OHSMS of the organization that controls temporary workplaces regardless of location.

(3) audit criteria

The audit criteria are used as a criterion for determining suitability during an audit, and the following items are included.

① Requirements of the standard document stipulated for the management system

② Documents of the prescribed process and the management system developed by the organization

7.2.2 Selection and assignment of audit team

(1) Assignment of audit team

The ITS shall assign the following audit teams to provide reliable certification audits.

① ' training and competence management process ' consists of the audit team with the competence according to

② ' conflicts of interest and risk management procedures ' consists of people do not have a certification in accordance with the organization's interests

(2) guide

The certification organization shall allocate a guide to ensure that a smooth certification audit is performed, and the guide's role is as follows.

① Confirmation of contact and time for interview

② Preparing to visit a specific place on the site or a specific area of the organization

③ Inform and ensure compliance with rules related to site safety and security procedures

④ Appraisal witness on behalf of the certification organization

⑤ Provision of explanation or information at the request of the auditor

7.2.3 Audit plan

(1) Preparation of audit plan

Audit team leader in order to ensure a smooth audit carried out ' screening team and preparing standards ' should be drawn up in accordance with the audit plan.

(2) Authority of the audit team

The audit team performs the following tasks at the site of the certification organization.

① Review and verify the organizational structure, policies, processes and procedures,

and related documents related to standards in the management system.

② The ① of information to decide whether or not to meet the all the requirements associated with the scope of certification application.

③ Determine whether processes and procedures are effectively established, implemented, and maintained in order to provide a basis for the reliability of the management system of the certification organization.

④ Measures to be taken by conveying the inconsistency between the certification organization's policies, objectives, and detailed goals (conforming to the expectations of the relevant management system standard or other standard documents) to the certification organization.

(3) Deliver the audit plan to the certification organization

The audit team leader must deliver the audit plan to the certification organization, and the audit date should be agreed with the certification organization in advance.

(4) Delivering information on audit team members to the certification organization

The ITS shall provide the certification organization with a list of audit team members and background information about each audit team member upon request, in which case the certification organization has expressed objection to the appointment of a specific auditor or technical expert, and if such objection is reasonable, ITS Enough time should be allowed to reorganize the audit team.

7.3 Initial certification

7.3.1 Initial certification audit

The initial certification audit for the management system is conducted in two stages, namely stage 1 and stage 2.

7.3.1.1 Stage 1 audit

(1) Purpose of the first stage review

The objectives of the first stage audit are as follows

① Review of information documenting the management system of the certification organization

② To evaluate the location of the certification organization and the status of each business site, and discuss with the personnel of the certification organization to determine the readiness for the second stage audit.

③ To identify the requirements of the standard, especially the major performance or critical aspects of the management system, review the status and degree of understanding of the certification organization related to processes, goals and operations.

④ Acquisition of essential information related to the scope of certification of the management system, including the following

-Certification organization's workplace(s)

-Process and equipment used

-Established management level (especially for organizations with multiple business sites)

-Applicable legal and regulatory requirements

⑤ Review the allocation of resources for the second stage audit, and agree with the certification organization for details of the second stage audit.

⑥ Providing important points for the second stage audit plan by fully understanding the management system and business site operation of the certification organization in relation to the critical aspects

⑦ Evaluate whether internal audits and management reviews are planned and carried out, and whether the level of execution of the management system proves that the certification organization is ready for the second stage audit.

(2) **Delivering the results of the first stage evaluation to the organization**

The audit team leader shall communicate to the certification body the documented conclusions related to the implementation of the stage 1 audit objectives and readiness for stage 2, including the identification of concerns that may be classified as nonconforming during stage 2 audit .

(3) **Consultation on the second stage review schedule**

① In determining the time interval between the stage 1 audit and the stage 2 audit, the audit team leader must take into account the request of the certification organization to resolve any concerns found during the stage 1 audit.

② In the event of a significant change that may affect the management system, the audit team leader should consider whether it is necessary to re-implement all or part of the stage 1 audit.

③ The audit team leader must inform the certification organization that the stage 2 audit may be postponed or canceled depending on the result of the stage 1 audit.

7.3.1.2 Stage 2 audit

(1) **Purpose of the second stage review**

The purpose of the second stage audit is to evaluate the performance and effectiveness of the certification organization's management system. The second stage audit should be conducted at the certification organization's workplace(s), and should include at least the following:

① Information and evidence on conformity to all requirements of the relevant management system standard or other standard documents

② Major performance targets and detailed targets (consistent with the expectations of the relevant management system standard or other standard documents.) Monitoring, measurement, reporting and review of the preparedness performance

③ The organization's management system capabilities and performance related to meeting applicable legal, regulatory and contractual requirements

④ Operation and management of certification organization process

⑤ Internal audit and management review

⑥ Management responsibility for the policy of the certification organization

(2) Conclusion of initial certification review

The audit team shall analyze all information and audit evidence collected during phase 1 and 2 audit, review the audit findings, and agree on the conclusion of the audit.

7.4 Audit performance

7.4.1 Holding the opening meeting

The formal opening meeting should be held in the presence of the management of the certification organization and, if applicable, the person responsible for the business function or process being audited. In general, the purpose of the opening meeting, which the audit team leader should conduct, should include a brief description of how the audit activities will proceed. The degree of detail should be consistent with the audit process and what the certification organization is familiar with.

7.4.2 Communication during review

(1) Exchange of review information

During the audit, the audit team should regularly evaluate the progress of the audit and exchange information. The audit team leader should reassign work between audit team members, if necessary, and regularly communicate the audit progress and concerns to the certification organization.

(2) Action in case of urgent and serious danger

If the audit evidence available during the audit cannot achieve the audit objectives or represents an urgent and serious risk (e.g. safety), the audit team leader should report this to the organization and, if possible, to the certification body to determine appropriate action. Such actions may include reconfirmation or modification of the audit plan, modification of the audit objectives or audit scope, or termination of the audit. The audit team leader shall report the results of the actions taken to the certification body.

(3) Actions when changes occur

The audit team leader should review with the certification organization and report it to the ITS when it becomes clear that the need for changes to the scope of the audit becomes clear during on-site audit activities.

7.4.3 Information acquisition and verification

(1) Conduct sampling audit

During the audit, information related to the audit objectives, scope and criteria (including information related to the linkages between functions, activities and processes) should be collected and verified using appropriate sampling to serve as evidence of the audit.

(2) How to collect information

Methods of collecting information during the review include:

① Interview

② Observation of processes and activities

③ Review of documents and records

In the case of OHSMS, the audit team shall conduct interviews with the following persons:

i) management with legal responsibility for safety and health

ii) Representatives of workers responsible for safety and health

iii) Personnel responsible for monitoring the health of workers, such as doctors and nurses.

  If the audit is conducted remotely, the justification shall be recorded.

iv) Managers, full-time and temporary workers

The following persons should be considered for interview.

i) Managers and workers who carry out activities related to the prevention of safety and health risks

ii) Contractor's management and workers

7.4.4 Identification and recording of audit findings

(1) Identification and classification of nonconformities

A summary of conformance and audit findings detailing the nonconformity should be identified, classified and recorded to provide information for determining the certification or maintaining the certification.

(2) Identification of opportunities for improvement

Opportunities for improvement can be identified and recorded unless prohibited by the requirements of the management system certification scheme. However, audit findings corresponding to non-conformities should not be recorded as opportunities for improvement.

(3) description of nonconformity

Nonconformities should be documented against the specific requirements, and a clear statement of nonconformity should be included in which the objective evidence on which the nonconformity is based is identified in detail. Nonconformities should be consulted with the certification body to ensure that the evidence is accurate and that the certification body understands the nonconformity. However, the auditor shall not suggest a cause or solution to the nonconformity.

> The audit team (including the head of the audit team) shall take the following actions when the organization finds non-compliance with the relevant regulatory requirements.
>
> ① If non-compliance with regulatory requirements is a serious violation of the law, immediately recognize the matter to the respondent, and then suspend the audit for a while and consult with the head of the audit team

② Determining whether the organization's management representative, etc. is aware of the seriousness of the problem and whether to suspend the exam

③ Prepare a nonconformity report and sign the relevant personnel or management representative

④ Description of non-compliance (non-compliance) and corrective action procedures at the closing meeting

(4) Description of outstanding issues

The audit team leader should attempt to resolve any disagreement between the audit team and the certification organization regarding audit evidence or findings, and any unresolved issues should be recorded.

7.4.5 Preparation of conclusions

Prior to the closing meeting, the audit team shall, under the responsibility of the audit team leader, perform the following:

(1) audit findings and other appropriate information obtained during the audit are compared with the audit objectives and audit criteria, and nonconformity is classified.

(2) Consensus on audit conclusions taking into account the uncertainty inherent in the audit process

(3) Agree on all necessary follow-up actions

(4) Identify matters that need to be confirmed or corrected for the adequacy of the audit program (e.g., scope of certification, audit time or date of audit, follow-up audit period, competence of audit team)

7.4.6 Holding the closing meeting

The formal closing meeting shall be conducted with the attendance recorded and attended by the management of the certification organization and, where appropriate, the head of the reviewed function or process

In the case of OHSHS, the representative of the organization should be asked to participate in the closing meeting by a manager who is legally responsible for 「 safety health, a person who is responsible for monitoring workers' health, and a representative of workers responsible for safety health.

The justification for non-attendance to the closing meeting shall be recorded.

In the above, justification refers to the case where the company announces discoveries related to field workers through the Occupational Safety and Health Committee, etc. or describes the names of the interviewees in the audit report

(1) In general, the purpose of the closing meeting, which the audit team leader should conduct, is to present the audit conclusions, including recommendations on certification. All nonconformities should be presented in an understandable way and a treatment period should be agreed upon.

(2) The certification organization should be given an opportunity to ask questions, and differences of opinion on audit findings or conclusions between the audit team and the certification organization should be discussed and, if possible, resolved. Unresolved disagreements should be recorded and informed to the ITS.

7.4.7 Audit report

(1) The audit team leader shall provide a written report for each audit to the certification organization. The audit team can identify opportunities for improvement, but should not recommend specific solutions.

The ownership of the audit report lies with the ITS.

(2) The audit team leader shall prepare the audit report and be responsible for the contents. The audit report shall provide accurate, concise and clear audit records so that certification decisions can be made based on information.

7.4.8 Nonconformity cause analysis

The audit team leader shall require the certification organization to analyze the cause within a specified time period to resolve any nonconformities found and to describe the specific corrective and corrective actions the certification organization has taken or plans to take.

7.4.9 Effectiveness of corrective actions and corrective actions

(1) The audit team leader shall review the corrective actions and corrective actions submitted by the certification organization and decide whether to accept them, and verify the effectiveness of all corrective actions taken.

(2) The audit team leader must inform the certification organization of the results of the review and verification, and whether additional full, partial, or documented evidence (confirmed at the next audit) is required to verify effective corrective and corrective actions. The organization to be audited must be notified.

(3) Confirmation of the effectiveness of corrective and corrective actions can be confirmed by reviewing documents provided by the organization or by visiting the site if necessary. Typically these activities are conducted by members of the audit team.

7.5 Certification decision
7.5.1 Assignment of certification decision makers

The ITS shall be composed of persons/committees who make decisions on approval or rejection of certification, expansion or reduction of the scope of certification, suspension or restoration of certification, cancellation or renewal of certification, and shall be composed of persons who have not performed the relevant review, and are appointed to make certification decisions. Person(s) must have appropriate competence.

7.5.2 Actions prior to certification decision

ITS is before making a decision about expansion and contraction, certification renewal, suspension or revocation of certification or restore approval, the scope of certification , certification decision and the registration procedure ' shall be reviewed in accordance with the following.

(1) Sufficient information provided by the audit team regarding certification requirements and certification scope

(2) For all major nonconformities, the audit team reviewed, accepted and verified corrective actions and corrective actions.

(3) For all light nonconformities, the audit team reviewed, accepted and verified the organization's plans for corrective and corrective actions.

7.5.3 Information for initial approval

(1) Submission of audit data including audit report

The audit team must submit the audit data to the ITS to include the following items.

① Review report

② Opinion on nonconformity and corrective actions taken by the certification organization, if applicable

③ Confirmation of the information provided to the certification body for application review

④ Confirmation that the purpose of the evaluation has been achieved

⑤ Recommendations for approval of certification and other conditions or observations

(2) Deadline for corrective action of major nonconformity

If the ITS cannot verify the corrective action of the major nonconformity and the implementation of the corrective action within 6 months after the end of the stage 2 audit, the ITS shall conduct the stage 2 audit again prior to recommending certification.

(3) Conversion to certification body

If the certification organizations that want to switch to a valid certificate from an existing certificate authority to the ITS, the organization must submit a conversion certificate application and the following documents in the ITS, ITS is " certification audit operating procedures ' can perform conversions certified in accordance with the .

① Copy of valid certificate of existing certification body

② A copy of the review report (from the final initial/renewal review to the post review)

③ If applicable, nonconformity report and proof of corrective action

7.5.3 Information for approval of renewal certification

The certification decision-maker shall decide whether to renew the certification based on the results of the renewal audit, the system review results during the certification maintenance period, and the review results of complaints received from the certification

users.

7.6 Maintaining certification

7.6.1 Follow-up management activities

(1) Follow-up management activities

Follow-up management activities may include the following, and the certification organization shall cooperate with the request of the ITS.

① ITS queries the certification organization for aspects related to certification

② Review of the organization's declaration on the operation of the certification organization (eg, promotional material, website)

③ Request the certification organization to provide documents and records (written or electronic media)

④ Other means of monitoring the performance of the certification organization

(2) Post management review

The post-management audit is an on-site audit, but it does not have to be an audit of the entire system, and ITS maintains the trust that the certified management system of the certification organization continuously meets the requirements during the period between the renewal audit and the renewal audit. Management audits should be planned along with other follow-up activities. Each follow-up audit for the relevant management system should include:

① Internal audit and management review

② Review of actions taken for nonconformities found in previous audits

③ Handling of complaints

④ The effectiveness of the management system in relation to achieving the goals of the certification organization and achieving the intended results of each management system(s).

⑤ Progress of planned activities for continuous improvement

⑥ Continuous operation management

⑦ Review of changes

⑧ Reference to the use of the mark and/or other certifications

7.6.2 Renewal audit

7.6.2.1 Renewal audit plan

(1) Purpose of renewal review

The purpose of the renewal audit is to confirm the continuous suitability and effectiveness of the overall management system, and to confirm the continuous relevance and applicability of the management system to the scope of certification. Renewal audits should be planned and conducted to evaluate whether all requirements of the relevant management system standard or other reference document are continuously met. Renewal

audits should be planned and conducted in a timely manner to ensure that the renewal takes place in a timely manner prior to the certification expiration date.

(2) Considering the performance of the management system for the recent certification cycle

Renewal certification activities should include review of previous surveillance audit reports, and should consider the management system performance for the most recent certification cycle.

(3) Depending on the changes, the first stage review may be required.

When there is a significant change in the management system, certification organization, or the circumstances in which the management system is operated (eg, changes in laws and regulations), the first stage of the review may be required during the renewal review.

7.6.2.2 Renewal audit

(1) Items to be included in the renewal review

Renewal audits should include on-site audits that cover:

① The overall effectiveness of the management system for internal and external changes and the continuous relevance and applicability of the management system to the scope of certification

② Demonstrated will to maintain the effectiveness and improvement of the management system in order to improve overall performance

③ The effectiveness of the management system in relation to achieving the objectives of the certification organization and achieving the intended results of each management system(s).

(2) Establishment and verification of the deadline for corrective/corrective action for major nonconformities

The ITS must set deadlines for corrective and corrective actions for all major nonconformities, and these actions must be implemented and verified prior to expiration of certification.

(3) Renewal audit conducted before the certification expiration date

If the renewal certification activity has been successfully completed before the expiration date of the currently held certification, the expiration date of the new certification may be based on the expiration date of the existing certification. The date of issuance of a new certificate must be on or after the date of determination of renewal certification.

(4) Restrictions on certification recommendations

Renewal certification shall not be recommended and the validity of the certification shall not be extended if the ITS has not completed the recertification audit or if the ITS is unable to verify the corrective action for major nonconformities and the implementation of corrective actions prior to the certification expiration date. . The organization should be

notified of the relevant information and the consequences should be explained.

(5) Certificate recovery

After expiration of certification, the ITS may restore certification within 6 months, provided that outstanding renewal certification activities have been completed, otherwise, at least a two-step audit must be conducted. The certification validity date indicated on the certificate should be on or after the renewal certification decision date, and the expiration date should be set based on the existing certification cycle.

7.6.3 Special audit

(1) In case of change of certified company

Special screening of implementation when changes affecting the quality system certified company details cause the " Certification Siem four operating procedures , review the applications according to the guides a special review of the changes made to the authentication registration applicant or registered organizations.

(2) Short-term preview audit

The ITS may investigate complaints, respond to changes, or as follow-up measures to certified organizations whose certification has been suspended, and may conduct an audit on certified organizations after a short notice or without notice. In this case, the ITS must perform the tasks as follows.

in the case of OHSMS, if ITS is aware of a serious health and safety incident, such as a serious accident or violation of regulations, the ITS shall document the findings separately from the involvement of the competent authority to investigate whether the management system is damaged or functioning effectively.

① The ITS must describe the conditions for conducting such short-term notice visits and notify the certification organization in advance.
② Since there is not enough opportunity for the certification organization to object to the appointment of audit team members, ITS should pay special attention to the assignment of the audit team.

7.6.4 Suspension, cancellation and reduction of certification scope

(1) Suspension of authentication

The certification organization ceases to be effective in the following cases:

[The scope of certification has been suspended]

(1) Where a follow-up audit has not been conducted within one month after receiving a notice of suspension of certification due to failure to audit the surveillance audit within the prescribed period;

(2) If the certification system does not have resources and certification organizations to meet the applicable standard requirements as a result of the certification audit, or most of the certification systems are not operational

(3) Where there is no reliability in the certification system due to claims or social objections from stakeholders;

(4) Where the certification organization fails to take countermeasures against changes in the certification system and certification requirements;

(5) In the case where the major non-comformity occurs as a result of the on-site inspection, and the major non-comformity occurs again as a result of the renewal audit.

(6) Where corrective action has not been taken within one month after receiving a corrective order due to the misuse of the certification mark;

(7) Where certification audit expenses have not been paid;

(8) Failure to comply with the organization's obligations under the certification contract;

(9) When used beyond the scope of the certificate

(10) Where information or documents provided during the application for certification and examination are found to be false;

(11) No major changes to the organization or system have been made public;

(12) Violation of any contract or agreement with ITS

(13) When the certification organization voluntarily requests the suspension of certification;

(14) In the case of major non-conformity, corrective action has not been taken within 90 days

(15) If an administrative disposition/improvement order (serious accident or violation of the law) is received from the competent authority, but corrective action is not taken effectively within the deadline requested by the competent authority

[Partial suspension of certification has been partially suspended]

(1) Some certification standards, scope of certification, and certification establishments have not performed the system for I years;

(2) In the case where the product produced within the scope of certification has not been produced for some 1 year

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(2) Cancellation of authentication

The certification organization will be canceled if the following applies:

① If corrective action is not taken after 3 months despite the suspension of effect or suspension of certification (however, if there is a reasonable reason, it is documented according to the judgment of the ITS, and if the consent of the ~~KAB~~ accreditation agency is obtained, the cancellation will be delayed. I can.)

② When the certification organization officially returns the certificate

③ When the production, activity or service of products (processes) included in the scope of certification is interrupted (limited to the applicable scope)

④ When the entity of the certification organization disappears or is not confirmed due to the dissolution of the registered customer or loss of contact

⑤ In case the validity of certification is suspended three or more times within the

validity period of the certificate

⑥ In case of refusal to comply with more than 1 month after receipt of request for certificate collection

(3) Restoration of authentication

The ITS shall restore the suspended certification if the matter causing the suspension is resolved.

7.7 Objection and complaint handling

(1) If there is a complaint or objection to the certification operation of ITS, the certification organization may make a written objection and request for handling of complaints in writing before 45 days have elapsed.

① In case the application for certification is rejected without justifiable reason.

② In case of disagreement with the review process or the results of the review

③ In the event that there is tangible or intangible damage or is expected because the ITS auditor or the auditor does not comply with the certification-related laws and standards

④ When other ITS business results are unsatisfactory

(2) The ITS may operate a processing team in consideration of the materiality of the case, and at this time, the processing team shall consist of personnel who do not have a direct interest in the matter.

(3) ITS is a dispute and, if a complaint is received, " Complaints and complaint handling procedures " it shall be informed within one month of the measures according to the results in writing to the certified organization.

(4) If the certification organization disagrees with the result of the action, it is subject to arbitration or authoritative interpretation by the accreditation body.

8. Related documents

8.1 Procedures for Use and Promotion of Certification Marks

8.2 Complaint and complaint handling procedures