

Carbon Trust Assurance Limited

Requirements for Management System Certification

1. Certification:

- 1.1. An organisation whose management system has been found by way of audit conducted by the Carbon Trust to conform to the relevant standard may be issued certification to said standard for an appropriate scope.
- 1.2. The initial certification may be granted following the conduct of a stage 1 audit and a stage 2 audit.
- 1.3. Thereafter, the ongoing validity of the certification is dependent upon the successful conduct of periodic surveillance and recertification audits.

2. Application:

- 2.1. Application by the Client for certification by the Carbon Trust is to be made in a format as prescribed by the Carbon Trust.
- 2.2. The Client shall ensure that the information provided in the application is accurate and appropriate to their context and requirements.

3. Requirements for Audits (General):

- 3.1. Clients are required to provide access to their premises and management system to:
 - a. The personnel selected by the Carbon Trust to form the audit team, including the audit team leader, audit team members and technical experts, for the purpose of conducting audits to the Client;
 - b. Carbon Trust personnel for the purpose of conducting internal witness audits and facilitating external witness audits;
 - c. Personnel of the accreditors of the Carbon Trust (in particular UKAS) for the purpose of conducting external witness audits.
- 3.2. Where the Carbon Trust wishes for other personnel to attend audits to the Client, for example for observation or training purposes, this shall be agreed upon in advance with the Client.
- 3.3. Clients have the right to object to the appointment of any particular audit team member. Where the objection is found to be valid the Carbon Trust shall either reconstitute the audit team in response or confirm to the Client that it is no longer able to progress its application for certification or maintain its existing certification.
- 3.4. Clients shall designate a Client Representative who shall be the main contact for the certification. The Client Representative, or a nominated deputy, shall be in attendance for all audits throughout their duration.

3.5. Unless otherwise agreed to with the audit team leader the Client shall provide a guide (who may also be an auditee) for each auditor in order to facilitate the audit. The responsibilities of a guide may include:

- a. establishing contacts and timing for interviews;
- b. arranging visits to specific parts of the site or organisation;
- c. ensuring that rules concerning site safety and security procedures are known and respected by the audit team members;
- d. witnessing the audit on behalf of the Client;
- e. providing clarification or information as requested by an auditor.

4. Requirements for Stage 1 Audits:

- 4.1. Stage 1 audits shall be conducted at the Client's premises as part of the initial certification process in order to: evaluate the appropriateness of the information provided in the application; review the management system in line with the audit criteria, and; prepare for the Stage 2 audit.
- 4.2. Where a Stage 1 audit is successful a recommendation shall be made for the application to be progressed and a Stage 2 audit may be conducted.
- 4.3. Where significant areas of concern are identified during a Stage 1 audit this may lead to postponement or cancellation of the Stage 2 audit.

5. Requirements for Stage 2 Audits:

- 5.1. Stage 2 audits shall be conducted at the Client's premises as part of the initial certification process in order to evaluate the effectiveness of the management system in meeting its intended outcomes.
- 5.2. Stage 2 audits shall typically be conducted within six months of the Stage 1 audit. Where it is not possible to conduct the Stage 2 audit within this timeframe, or if any significant changes occur which would impact the management system, it may be necessary to repeat all or part of the Stage 1 audit.
- 5.3. Where a Stage 2 audit is successful a recommendation shall be made for the granting of certification.

6. Requirements for Surveillance Audits:

- 6.1. Surveillance audits are to be conducted in the first two years of each three-year certification cycle.
- 6.2. Surveillance audits shall be conducted at the Client's premises in order to ensure the ongoing effectiveness of the management system in meeting its intended outcomes and the validity of the certification.
- 6.3. Surveillance audits shall be conducted at least once per calendar year, except in recertification years. The first Surveillance audit to the Client shall take place no later than 12 months from the date on which the initial certification was granted.

7. Requirements for Recertification Audits:

- 7.1. Recertification audits are to be conducted in the third year of each three-year certification cycle.
- 7.2. Recertification audits shall be conducted at the Client's premises in order to: ensure the ongoing effectiveness of the management system in meeting its intended outcomes and the validity of the certification; and evaluate the performance of the management system over the three-year certification cycle.
- 7.3. Where a Recertification audit is successful a recommendation shall be made for renewing the certification.
- 7.4. Recertification audits shall be conducted prior to the expiry of a certificate. Should it not be possible to complete the recertification process prior to the expiry of the certificate its validity cannot be extended or reissued until the outstanding recertification activities are completed. If the recertification activities cannot be completed within six months of the expiry date a repeat Stage 2 audit shall be required to be conducted to restore the certification.

8. Certification Decisions

- 8.1. All recommendations relating to the granting or renewal of certification shall be reviewed by an independent decision maker (the Internal Reviewer).
- 8.2. The Internal Reviewer shall either grant or refuse the certification.
- 8.3. Where a Nonconformity (either Major or Minor) has been identified during a certification audit (Stage 2, Recertification, etc.) a corrective action plan, detailing at least planned correction, root cause analysis, and planned corrective action, must be provided within timescales defined by the audit team leader by the Client to the Carbon Trust for review as part of the decision making process.
- 8.4. Where a Major Nonconformity has been identified, evidence of the implementation of correction and corrective action must be provided within timescales defined by the audit team leader by the Client to the Carbon Trust for review as part of the decision making process. The timescales for the provision of this evidence will not usually be longer than three months, and cannot extend beyond the expiry of the certificate.

9. Requirements for Maintaining Certification:

- 9.1. Certification shall subsist until such time as it is withdrawn.
- 9.2. The client is required to inform the Carbon Trust, without delay, of matters that may affect the capability of the management system to continue to fulfil the requirements of the standard used for certification. These include, for example, changes relating to:
 - a. the legal, commercial, organisational status or ownership;
 - b. organisation and management (e.g. key managerial, decision-making or technical staff);
 - c. contact address and sites;

- d. scope of operations under the certified management system;
- e. major changes to the management system and processes.

10. Confidentiality:

- 10.1. All information relating to the Client obtained and held by the Carbon Trust will, except where stated below as otherwise, be considered as being confidential.
- 10.2. Confidential information shall not be disclosed by the Carbon Trust to a third party without the prior written agreement of the Client concerned, except under the circumstances described below.
- 10.3. When the Carbon Trust is required by law to release confidential information, the Client shall, unless prohibited by law, be notified of the information provided.
- 10.4. Confidential information relating to the Client may be viewed and/or released to the accreditors of the Carbon Trust (in particular UKAS) as part of the accreditation process. Such information may include:
- 10.5. Information provided by the Client to the Carbon Trust as part of the application process;
- 10.6. Audit reports resulting from audits to the Client;
- 10.7. Corrective action plans and any associated evidence of correction and corrective actions submitted by the Client to the Carbon Trust.
- 10.8. Information included on Certificates of Conformity issued by the Carbon Trust is to be considered publically accessible.
- 10.9. When requested the Carbon Trust will confirm details relating to the Client's Certificate of Conformity, including:
 - a. The certificate's status;
 - b. The name of the Client detailed on the certificate;
 - c. The relevant standard to which the certificate related;
 - d. The scope of certification;
 - e. The geographical location(s) to which the certificate relates.
- 10.10. The Carbon Trust may disclose non-confidential information about the conclusions of specific audits (e.g. audits in response to complaints) to specific interested parties.

11. Claims of Conformity

- 11.1. All claims made by the Client regarding the certification of their management system by the Carbon Trust, including the use of a Certificate of Conformity (or any part thereof) issued by the Carbon Trust and the use of the Carbon Trust's Certification Marks, shall be accurate and appropriate.
- 11.2. When making a claim relating to conforms to the requirements of the certification body when making reference to its certification status in communication media such as the internet, brochures or advertising, or other documents;

- 11.3. The Client shall not:
- a. make or permit any misleading statement regarding its certification;
 - b. use or permit the use of a Certificate of Conformity (or any part thereof) issued by the Carbon Trust in a misleading manner;
 - c. allow reference to its certification to be used in such a way as to imply that it is a product (including service) or process to which the certification applies and not the client's management system;
 - d. state or imply that the certification applies to activities and locations that are outside the scope of certification;
 - e. use its certification in such a manner that would bring the Carbon Trust and/or the certification system into disrepute and lose public trust.
- 11.4. Upon withdrawal of its certification the Client shall immediately stop making any claims regarding the certification of their management system, including the discontinuing the use of all advertising materials that contain reference to certification.
- 11.5. Where the Client's scope of certification has been reduced they shall ensure that this does not invalidate any existing claims relating to certification and immediately amend any existing claims, including advertising materials, where it is found that the claims are no longer accurate or appropriate.
- 11.6. When making use of the Carbon Trust's Certification Marks the Client shall follow the requirements prescribed in the Carbon Trust Assurance Limited Conditions on the Use of Certification Marks document, as published on the Carbon Trust website and available upon request.

12. Suspension of Certification

- 12.1. Management system certifications may be temporarily suspended upon written confirmation by the Carbon Trust (mandatory suspension) or following written request by the Client (voluntary suspension).
- 12.2. Whilst suspended the Client's management system certification is temporarily invalid and as such the Client shall not make any claim to the effect that their management system is certified by the Carbon Trust.
- 12.3. The reasons for which the Carbon Trust may choose to suspend the certification of the Client include where:
- a. The Client does not permit the Carbon Trust to conduct a surveillance or recertification audit within the required timeframe;
 - b. The Client's management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system.
- 12.4. Failure to resolve the issues that have resulted in the suspension within six months will typically result in the withdrawal or reduction of the scope of the Client's certification.

13. Reduction of the Scope of Certification

- 13.1. The reasons for which the Carbon Trust may reduce the scope of the Client's certification include:
 - a. Where parts of the scope of certification (specific activities, divisions, locations, etc.) have persistently or seriously failed to meet the certification requirements, or cease to be operational;
 - b. Where it has not been possible, for whatever reason, to sufficiently assess parts of the scope of certification (specific activities, divisions, locations, etc.) within three year certification cycle;
 - c. As an outcome of the suspension process;
 - d. As requested in writing by the Client.
- 13.2. Confirmation of the reduction of the scope of certification shall be made in writing to the Client and the Client's Certificate of Conformity will be amended and reissued as appropriate.

14. Withdrawal of Certification

- 14.1. The Carbon Trust may withdraw a Client's certification at any time upon 7 days' written notice by the Carbon Trust.
- 14.2. The reasons for which the Carbon Trust may, at any time, withdraw the Client's certification include:
 - a. Where the Client has failed to abide by any the requirements prescribed in this document;
 - b. Where the Client's management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system;
 - c. Where the Client ceases to trade, is declared bankrupt or insolvent;
 - d. As an outcome of the suspension process.
- 14.3. Certification shall be withdrawn at the request of the Client upon giving one months' written notice.

15. Short Notice Audits

- 15.1. The Carbon Trust reserves the right to conduct short notice or unannounced audits to the Client for reasons including:
 - a. In order to facilitate the investigation of a complaint regarding the Client where the nature of the complaint has a bearing on the Carbon Trust's certification activities and/or the potential effectiveness of the Client's management system;
 - b. In response to significant changes to the Client, including changes to the Client's organisational structure, management system or premises;
 - c. As follow up regarding the suspension of the Client's certification.

- 15.2. In such instances the Carbon Trust will exercise additional care in the assignment of the audit team in recognition of the lack of opportunity for the Client to object to audit team members.
- 15.3. Where a short notice or unannounced audit for the purpose of investigating a complaint:
- i. confirms that the complaint made was valid; and
 - ii. indicates that there are failings in the effectiveness of the Client's management system;

the Carbon Trust may choose to levy appropriate costs upon the Client based on the time taken to conduct the audit (rounded up to the nearest half- or full-day) and the Client's standard day-rate for auditing activities at the time of the audit.

16. Complaints

- 16.1. Individuals and organisations who are not satisfied with any aspect of the service they have received or the activities of the Carbon Trust, or who have any dissatisfaction about a certified client which could have a material effect on the validity of its certification, may make formal complaint in accordance with the Carbon Trust's complaints process, a copy of which is available on request or via the Carbon Trust website.

17. Appeals

- 17.1. The Client may appeal any certification decision made by the Carbon Trust in accordance with the Carbon Trust's appeal process, a copy of which is available on request or via the Carbon Trust website.