GP01 General Certification Process for Management Systems
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This document is intended to set forth the Certification process for an organisation's management system.

1. Certification Proposal

1.1 Application

1.1.1 General process

Bureau Veritas Certification uses the applicant's website or application form to collect the following required information:

- Organisation name and contact details (name, address, etc.)
- Requested certification (certification program, scope, sites concerned, etc.)
- Pre-audit request if applicable (not part of the certification process).
- List of certifications and qualifications already obtained
- Completed activities (process, products, clients, etc.)
- Outsourcing information if applicable
- Organisation structure (number of sites, employees, etc.)
- Temporary sites, construction work …
- Specific information concerning the certification program applied to the Management System.

Bureau Veritas Certification also uses the following information to establish a certification proposal:

- The organisation is already certified and wishes to renew or extend the scope of the certification.
- The organisation is a multi-site or multi-branch organisation and deploys a centralised system of management.

1.1.2 Multi-site organisation

A multi-site organisation owns several geographical locations (networks, regional management units, agencies, offices, …) and deploys a centralised management system.

In this case, the system deployed shall comply with the following requirements:
- The organisation applies the same management system
- All sites have been audited internally and findings reported prior to the certification audit
- The following activities are centralised or reported to a centralising site:
  - ✓ Complaints and formal notice processing
  - ✓ Management review
  - ✓ Corrective action assessment
  - ✓ Internal audit planning and outcome assessment.
- The sites are legally or contractually tied to the central entity and the certification contract shall cover all entities concerned.

Certification audits may be performed on a sample site audit basis in accordance with the number of sites and respective activities.

The list of entities to be audited during the initial audit process, and during follow-up audits, automatically includes the central entity that houses all general management system operations and a relevant number of sites. This list and the audit program shall be communicated to the organisation.

1.2   Proposal

On the basis of the information communicated by the organisation, Bureau Veritas Certification draws up a certification proposal in accordance with the national requirements set forth by the appropriate accreditation bodies and international requirements set forth by the IAF (International Accreditation Forum).

The technical and commercial proposal drawn up by Bureau Veritas Certification covers the initial assessment and follow-up audits to maintain the certification and also a renewal audit if applicable. The proposal shall cover all temporary sites,construction work …

The proposal does not include any complementary audit that could prove necessary should the organisation's management system be non-compliant with the selected certification program.

In the event the audit can be performed using TAAO tools, the proposal shall set forth the measures to be implemented to ensure the security of the information that are acceptable to both parties.

1.3   Certification contract

The technical and commercial proposal approved and signed by the organisation forms the Certification Contract.

On that document, the organisation may specify the time period when they would like to be audited. Upon receiving the document Bureau Veritas Certification reviews the contract and prepares the certification audit by setting up an audit team and scheduling the dates.

2.   Bureau Veritas Certification Auditors

All auditors are qualified auditors in accordance with the requirements of ISO 17021 standards. They all have a solid experience in both industrial and service sectors and in conducting management system audits for the activities in question (Quality, Safety or Environment, Energy, for example).

Auditors are appointed to conduct certification audits according to three criteria:

- Competence in the organisation's core activity.
- Proximity of the organisation's premises.
- Availability on the certification dates requested by the organisation.

Bureau Veritas Certification auditors are trained so as to ensure a field-based and pragmatic approach. Above all else, they assess the management system as a tool that enables the organisation to control and improve its activities.

3. Pre-audit (not part of the certification process)

A pre-audit is not part of the certification process. However, Bureau Veritas Certification may conduct them upon request by the organisation. A pre-audit is intended to assess compliance of the management system as regards the certification program requirements. It is not to be interpreted as a consulting service nor an internal audit.

Pre-audits are conducted by applying the same assessment process as that used for the certification process. However, their duration and scope is inferior to a certification audit. It is recommended not to go beyond the equivalent of an annual follow-up; this limits the comprehensive nature of the evaluation to an assessment of part of the scope of the certification process or of the certification program's requirements.

A pre-audit is the observation of a situation at a given time. No action is taken after the submission of the pre-audit report.

4. Initial audits

The organisation is provided with the name and contact information of the auditors as well as the final audit dates. The organisation may object to the appointment of an auditor.

In the case of an initial audit, the certification audit is organised into two phases.

4.1 Audit phase 1

This audit helps assess the organisation's level of preparation for the audit.

For the performance of the audit phase 1, it is recommended the management system has been in use for at least 3 months.

Phase 1 is generally performed on site. However, in the case of an ISO 9001 certification process, it may be performed off site when the total duration of the initial audit does not exceed 3 days.

For ISO 14001, OHSAS 18001 and ISO 50001 certification, Bureau Veritas Certification may decide, in the event the risks relating to the certification have been assessed as low, to perform phase 1 off site. Assessment criteria are notably:
- Level of risk relating to the activity and environmental aspects (ISO 14001), dangers (OHSAS 18001), energy management (ISO 50001)
- Environmental sensitivity
- Site regulation (ranking: not ranked / declared / recorded / authorised / Seveso)
- Risk linked to certification project (mono-site, low number of employees, low risk …)
- Client insight

4.1.1 Elements required for the performance of phase 1

During this phase, the following elements are examined by the Lead Auditor:

- Documentation concerning key performance or significant aspects (*)
- Management system procedure
- Objectives relating to the management system and action plans
- Internal audit schedule (performed and planned); the organisation's full management system should have been audited before the audit phase 1.
- The minutes of the latest management review
- List of codes, standards and regulations concerning the products and services provided (**)
- Company organisation chart
- Safety guidelines for the sites concerned, notably in the event a prevention plan is required
- All other additional information deemed important or useful by the organisation or requested by the auditors

(*) : Concerning the **environment**, the identification of environmental aspects, results of environmental analyses, and risk management systems.
Concerning **safety**, the identification of dangers, the assessment of risks and risk management systems (information that normally figures in the risk management manual).
For **energy**, elements relating to energy performance and specific energy usage criteria.
For **quality**, quality objectives and performance indicators in terms of customer satisfaction and results (products and/or services).

(**) : Concerning the **environment**, the list of applicable legal requirements and other requirements to which the organisation subscribes.
Concerning **safety,** the list of applicable legal requirements and other requirements to which the organisation subscribes relating to health and safety in the workplace.
Concerning **energy**, the list of applicable legal requirements and other requirements relating to energy usage, consumption and management.

4.1.2   Provision of documents

If phase 1 is conducted off site, when confirming the scheduling of the audit, Bureau Veritas Certification requests the organisation provide all or part of the documents listed in paragraph 4.1.1 above to the audit team at least 6 weeks before the date of the certification audit.

4.1.3   Audit phase 1 conclusions

At the end of phase 1, the auditor verifies:
- The feasibility of phase 2
- The regulatory and legal aspects the organisation should adhere to and all related risks
- The information submitted by the organisation
- If the organisation has received formal notice from the administration, or if administrative regularisation is on-going.

An audit phase 1 report is drawn up and submitted to the organisation. This report determines the admissibility of the file and confirms, following consultation with the organisation, if phase 2 of the audit can be performed.

In the event potential dysfunctions or non-conformities are noted, the auditor shall determine if the time allotted between phase 1 and phase 2 audits is long enough for corrective measures to be implemented and if the audit phase 2 can be confirmed or not.

If, as requested by the organisation, phase 2 is scheduled within under 45 days of phase 1, and if phase 1 findings mean it is not possible to conduct phase 2 as planned, Bureau Veritas Certification reserves the right to invoice all costs relating to the postponement of the audit phase 2.

If phase 2 cannot be conducted within 90 days, Bureau Veritas Certification reserves the right to conduct another audit phase 1 (following the drawing up of an amendment to the contract).

If, following the audit phase 1, the lead auditor believes the organisation is not ready for phase 2, a new audit phase 1 shall be proposed and require an amendment to the contract is drawn up.

4.2   **Certification Audit phase 2**

The aim of this phase is to verify the implementation and efficiency of the management system in relation to the selected certification program, notably concerning the following:

- The information and proof of conformity with all requirements of the standard relating to the management system or other applicable normative documents
- The monitoring, measuring, reporting and review of performance in relation to key performance objectives and targets (in line with expectations concerning the management system standards or other applicable normative documents)
- The organisation's management system and performance in relation to regulatory compliance
- The operational management of the organisation's procedures
- The internal audits and management reviews
- Management responsibility in relation to organisational policies
- The links between normative requirements, policy, performance objectives and targets, all applicable legal requirements, responsibilities, employee skills, operations, procedures, performance and results data and internal audit findings.

In order to facilitate the audit the organisation shall:
- Provide the audit team with all the documents and information required.
- Grant full access to the facilities and facilitate contact with employees.

The audit in no way replaces the regulatory controls performed by the relevant authorities.

4.2.1   Certification audit phase 2 organisation

The audit leader prepares and schedules phase 2 with the organisation and communicates the programme at least 2 weeks prior to the audit phase 2 date.

It shall detail the elements of the organisation's set up that shall be audited and include a schedule of the different stages. The programme may be modified according to last minutes constraints.

The audit plan takes into consideration any activities that may occur during shift changing operations.

4.2.2   Opening meeting

The audit starts with a meeting with the directors of the company and to which company representatives are invited. The objectives of the meeting are as follows:

a) presentation of the participants and definition of their roles;
b) confirmation of the scope of certification;
c) confirmation of the audit program (including type and scope, objectives and criteria), any changes or important provisions, such as time and date of the closing meeting, intermediary meetings between the audit team and management;
d) confirmation of the channels of communication between the audit team and the organisation;
e) confirmation of the availability of the resources and logistics required by the audit team;
f) confirmation of points relating to the confidentiality of any information;
g) confirmation of health and safety measures for the audit team;
h) confirmation of the availability, role and identity of guides and observers;
i) information concerning reporting methods;
j) information concerning the conditions under which the audit may be terminated prematurely;
k) confirmation the lead auditor and audit team, as representatives of the certification body, are responsible for the audit and the performance of the audit plan, including audit activities and its progression;
l) confirmation of the status of previous findings, when applicable;
m) presentation of the methods and procedures used to conduct the audit on a sample basis;
n) confirmation of the language used during the audit;
o) confirmation that, during the audit, the organisation shall be informed of the progress made;
p) provide an opportunity for the client to ask any questions relating to the audit.

4.2.3   Performance

The on-site audit is based on interviews with employees, the observation of procedures and activities and the review of documents and records during which the auditors assess whether the measures defined in the management system are implemented at all levels of the organisation and respect the requirements of the applicable standards.

Particularities concerning Environment, Safety and Energy audits
For ISO 14001, OHSAS 18001 and ISO 50001 certification audits, the organisation shall enable the auditing of sub-contractors working on-site for the audit team to verify their awareness and respect of the operating standards implemented by the organisation requesting certification.

4.2.4   Non-conformities

Non-conformities fall into two categories: minor and major.
-    Minor non-conformities: Not satisfying a requirement that does not affect the management system's capacity to achieve expected results
-    Major non-conformities: Not satisfying a requirement that affects the management system's capacity to achieve expected results.

Identified non-conformities shall always meet the following three criteria:
•   They are objective and founded on the failure to comply with a specification of the certification program or a provision required by the organisation.

- They are based on evidence, never on presumptions.
- They are understood by the organisation.

From that point on, the organisation can deploy corrective actions to resolve the non-conformities.

4.2.5   Review meeting

For audits that last several days, meetings can be organised at the end of each day to review progress and findings. Non-conformities identified during the day can be analysed.

4.2.6   Closing meeting

At the end of the audit, a closing meeting is organised by the lead auditor with the management staff. If possible it should gather the same participants as those present at the opening meeting.

During the closing meeting the lead auditor should:

- Present any identified non-conformity
- Check the information that will appear on the certificate
- Indicate his/her conclusions and recommendations in relation to the certification

When performed electronically, it is not necessary for the documents to be signed.

4.2.7   Audit report

Within 90 days of the end-of-audit meeting the organisation submits their reply regarding the non-conformity reports to the lead auditor.

If the non-conformities are not closed within 90 days, an additional 3 months may be granted and a complementary audit scheduled with an amendment to the contract.

If major non-conformities are not closed within a 6-month period, a full review is required.

Generally speaking minor non-conformities may be closed on the basis of planned actions. Such actions shall always be verified during the next audit.

Major non-conformities can only be closed after the effective implementation of the corrective actions has been checked. Corrective actions can be checked through document sharing or during a complementary audit. Should that be the case an amendment to the contract is submitted to the organisation.

In the event the number and nature of the non-conformities (notably in terms of application) reveals a number of serious dysfunctions, Bureau Veritas Certification may request an additional audit is performed, following the certification.

The final report is sent to the client when the non-conformities have been closed.

5. Certification

The application is reviewed and approved by a certification committee.

One or more Bureau Veritas Certification certificates are issued to the organisation. They state the following:

- The organisation's name.
- The applicable certification standard
- The scope of the certified activities
- The site(s) concerned, their address and activities for multi-site organisations.
- The certification cycle start and end dates (duration: 3 years for a normal cycle).

This certification does not cover certification for the products or services provided by the organisation and does not exempt the organisation from respecting its legal obligations.
If required, parallel procedures may be implemented for the issuance of certificates that are recognised in other countries.

The certification committee may request additional information or demand that additional investigations be carried out before making a decision or may subject their decision to a complementary follow-up visit.

In accordance with ISO 17021 standard, Bureau Veritas Certification provides access to on-going active certifications via its website.

6. Certification trademarks

With the certificate, Bureau Veritas Certification France also provides the organisation with the required instructions on certification trademark uses.

Certification trademarks are used to promote the certification of the organisation's management system and may be added to company documentation.

The use of the certification trademarks is subject to the respect of the communications guide provided to all clients. Use of accreditation trademarks is forbidden (unless authorised by Bureau Veritas Certification).

Bureau Veritas Certification supervises the use of logos and certificates during its audit activities by verifying the certification trademarks are:

- Fully reproduced, with the colour and format that comply with the corporate style guidelines
- Used to promote the certification of the organisation's system and not its products or services.
- Not used in any misleading way with regards the certification.

The organisation also commits to the following requirements:

- To comply with Bureau Veritas Certification requirements when referring to the situation of the certification through communication means (website, brochures, advertising, etc.),
- To not make any misleading or false declaration concerning the certification,
- To not use or authorize the improper use of any certification document, either in part or in full,

- To cease immediately, in the event of the suspension or withdrawal of the certification, all communications referring to a status of 'certified' organisation,
- To modify all communication in the event the scope of the certification is reduced,
- To not refer to the certification of the management system in a way that may imply a product (including services) or a process is certified,
- To not imply the certification applies to activities not covered by the scope of the certification, and
- To not use certification in a way that could damage the reputation of Bureau Veritas Certification or the certification scheme and not prejudice the trust the public has in it.

7. Maintaining certification

Surveillance audits are conducted to ensure the certificate is maintained throughout its validity period by checking the management system continues to comply with the selected certification programme.

In addition, they help detect weaknesses and identify improvement opportunities that can help the organisation improve its performance with the implementation of continuous improvement initiatives.

7.1 Surveillance audits

The first surveillance audit is scheduled within 12 months of the final day of the audit phase 2. Subsequent surveillance audits are scheduled once a year, except certification renewal years. The organisation is free to request they are conducted on another frequency (for example every 6 or 9 months).

For multi-site organisations each surveillance visit shall cover the central site as well as an appropriate number of sites.

Surveillance audits are partial audits whose content is defined and organised by the lead auditor during the initial certification audit or certification renewal audit.

7.2 Non-conformities and corrective actions

Any non-conformities identified during a surveillance audit should be dealt with in the same way as with an initial certification audit.

In the event of a major non-conformity or any other situation that could lead to the suspension or withdrawal of the certification, the audit report is examined by a certification committee that decides whether to maintain or suspend the certification.

In the event a non-conformity is not closed within 90 days, certification may be suspended.

8. Renewal audit

Renewal audits are scheduled before the end of the certification validity period to give the organisation enough time to close any potential non-conformities before the expiry date and the certification committee the

time to make a decision concerning the renewal. The scope of certification is checked prior to each renewal audit.

Renewal audits are conducted in just one phase, unless the organisation's management system has undergone major changes or in the case of other specific criteria (complexity of the activity, number of sites, risks related to the activity, certification standards). The renewal audit takes into consideration the results of the latest surveillance audits.

The organisation should apply the corrective actions in the event of non-conformities before the previous certificate expires. The conditions are the same as for an initial certification.

Following expiration of certification, the certification body can restore certification within 6 months provided that the outstanding recertification activities are completed, otherwise at least a stage 2 shall be conducted. 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.

In order to maintain the original certification date, the decision to certify should be made before the previous certificate expires

The certification body can keep the original certification date on the certificate when a certificate lapses for a period of time provided that:
— the current certification cycle start and expiry date are clearly indicated;
— the last certification cycle expiry date be indicated along with the date of recertification audit.

9. Extending the scope of certification

At any moment the organisation may choose to extend or reduce its scope of certification to:
- Integrate or remove sites from the scope of certification.
- Include or remove activities performed by the organisation.
- Cover new certification standards or take into consideration new accreditation standards or rules.

In the event of an extension, the organisation must conduct an internal audit in accordance with the extension.

Bureau Veritas Certification may launch a specific audit, if required, to validate the certification extension.

10. Transfer of certification

Bureau Veritas Certification France can decide to take over an organisation's certification cycle. A technical and commercial proposal is drawn up on the basis of the certification cycle.

To monitor the transfer of the application, a technical control is performed to verify:

- The validity of the current certification (accreditation, authenticity, duration, scope, motive for transfer)
- Previous audit reports and the absence of unclosed non-conformities
- Complaints received and actions taken
- Any commitment made with the authorities concerning regulatory compliance.

Once the application has been examined, Bureau Veritas Certification France shall perform an audit or simply deliver a certificate.

The expiry date of the certificate is the same as the previous certificate. The audits that follow are scheduled and performed in line with the validity period of the certificate.

For organisations changing certification body during a certification renewal audit: the process is the same as for a certification renewal audit preceded by a technical review of the transfer.

11. Changes to the organisation or the management system

If changes are made to the organisation (status, organisation, number of employees …), the management system or scope of certification (sites, activities, …), such changes must be communicated to Bureau Veritas Certification as soon as possible. The changes are assessed to verify their compatibility with the standards and certification programs and assess their impact on the duration of an audit. A special monitoring audit may be scheduled if required.

The changes are communicated to the lead auditor and reviewed during the surveillance audit.

12. Transparency

If the organisation is contacted by the authorities to remedy a certain situation during the certification cycle, the organisation must inform Bureau Veritas Certification as rapidly as possible.

In the event of an incident and the danger of accidental pollution or in the event of pollution that involved the intervention of the authorities or local press, the organisation shall inform Bureau Veritas Certification as rapidly as possible.

13. Short Notice Audits

Bureau Veritas Certification may audit certified organisations at very short notice in order to investigate complaints, following changes in the management system or to follow-up on suspended organisations.

The organisation must accept such audits (there can be a certain flexibility with the dates).

14. Suspension or withdrawal of certification

Bureau Veritas Certification reserves the right to suspend or withdraw a certificate already issued at any time during its validity period.

A certificate may be suspended or withdrawn in the following situations:

- The lead auditor requests it following the audit and after approval by the certification committee.
- The organisation fails to submit acceptable responses within the announced deadline following any non-conformity report.
- The organisation misuses the certification trademarks.

- The organisation fails to comply with the technical and business agreements signed into with Bureau Veritas Certification
- The organisation did not make it possible to conduct the surveillance or renewal audits within the scheduled timelines, especially by failing to pay invoices within contractually binding deadlines thus making it impossible to schedule subsequent audits
- The organisation requested it.

During the suspension period the organisation must refrain from referring to their certification.

The suspension lasts 3 months and may be extended once. The certification may be reactivated upon submission of supporting documents or after an acceptable audit outcome.

Failure to meet these conditions will result in the certification being eventually withdrawn and the contract being terminated. The organisation must immediately cease referring to their certification.

Bureau Veritas Certification may communicate on whether a certification has been suspended or withdrawn.

15. **Complaints**

Customers complaints are dealt with and replied to in writing.

Complaints brought by third parties are handled under the supervision of the Technical Management unit to determine if the complaint is related to a certified activity.
A root cause analysis is also performed.

A reply is submitted to the complainant and any corrective measures required are taken.

Bureau Veritas Certification agrees to respect complainant and organisation confidentiality requirements.

16. **Appeals**

The organisation may appeal Bureau Veritas Certification's decision in the following situations:
- The application of the organisation is turned down,
- The certificate is not delivered,
- The certificate is suspended or withdrawn.

and in the event of specific certification decisions as provided for in the certification program.

Acknowledgement of receipt is sent without delay to the client.

Appeals are handled under the supervision of the Technical Management Unit.
Unless indicated otherwise in the case of a specific certification program, appeals are handled under the supervision of the Technical Management Unit.
For all decisions, the Technical Management Unit shall consult all authorised authorities or persons according to the situation and timeline (certification committee …).

In all cases, the resolution is undertaken by an individual not involved in the certification activities that gave rise to the appeal.

A response will be given to the client in writing.

17. Confidentiality

Bureau Veritas Certification administrative staff members and auditors are committed to treating as confidential any information or document obtained or created as part of the certification activities.

That confidentiality requirement may be waived in the following situations:

- Legal purpose or administrative request
- Written agreement granted by the organisation.
- Request from the accreditation body
- Transmission of information as laid out by the certification program

18. Observer participation to audits

Bureau Veritas Certification France may at times call observers to attend their certification or monitoring audits.

These observers may be:

- Bureau Veritas Certification France in-house auditors (as part of auditor qualification or supervision)
- Auditors from accreditation bodies or certification scheme prescribing bodies (Bureau Veritas Certification France audit as part of accreditation programmes)
- Members of the Bureau Veritas Certification network.

The organisation must accept the presence of these observers.

19. Changes to accreditation rules, applicable regulation or Bureau Veritas Certification requirements

In the event of such changes, and if the changes impact on-going contracts, Bureau Veritas Certification shall inform its clients about the terms and conditions of the transfer in line with such changes.

Maintaining certification means respecting the terms and conditions that may be the subject of an amendment to the ongoing certification contract.

Specific rules relating to the certification programmes

ISO 14001

Relevant paragraph	Additional rules
1.1.2	Concerning an application for multi-site certification, the organisation must be in a position to prove its capacity to collect and analyse information from all the sites including the central site and its power, authority and capacity to implement organisational change as required: • documentation and system changes; • changes concerning the aspects and impacts relating to environmental management system and; • different regulatory requirements.
4.2.3	In the event of a major non-conformity concerning the non-respect of regulatory and/or legal requirements, a non-conformity report is drawn up if the organisation cannot prove the following actions have been implemented: • Implementation of a relevant corrective action plan within a reasonable period of time (less than 3 years except with the express agreement of the competent authorities) • Information relating to the non-conformity to the competent authority. The organisation should provide such proof to Bureau Veritas Certification. An agreed timeline would also be welcome. **Administrative update (ICPE- Registered Activities for Environmental Protection - file application for declaration, registration or authorisation procedures):** In the event of an administrative update, the organisation must have filed for application at the authority and there must be an action plan designed to rectify the dysfunction between the current situation and applicable legal provisions
5	In the event of formal administrative notice during the application for certification procedure or during the certification cycle, the Bureau Veritas Certification committee shall take a decision concerning the certificate: issuance, suspension or withdrawal of the certification The decision is made on a case by case basis. **The committee shall examine:** • The notice • Action plans, application and reply from the organisation to the competent authority relating to the formal notice (with acknowledgment of receipt) • Opinion of the auditor concerning the notice and possibility of certification • Letter requesting the lifting of the formal notice if applicable.

Specific rules relating to the certification programmes

ISO 50001

Relevant paragraph	Additional rules

1.1.2	The conditions for eligibility for multi-site certification are detailed in ISO 50003: 2014 Annexe B.
	Bureau Veritas Certification shall examine the following points:
	
	• Are the procedures relating to significant energy usage and energy consumption globally the same for all sites? If not, are they grouped into sub-groups and applied using similar procedures?
	
	• Concerning the energy management system, is there confirmation the central site:
	  o Approves the documentation and system modifications;
	  o Performs the management review, collecting the information from all sites;
	  o Assesses the corrective actions and has the authority over the sites to impose their implementation;
	  o Plans the internal audit and assesses the conclusions;
	  o Shows the required capacity to collect the required information concerning local and other requirements, and to implement the organisational changes as required;
	  o Groups the findings of the internal audits of the different sites;
	
	• Concerning energy and energy performance, is there confirmation the central site:
	  o Manages and monitors energy planning to ensure the relevance of the energy planning procedure;
	  o Ensures the consistency of the determination and adjustment criteria concerning reference consumption measures, variables and relevant energy performance indicators (EnPI);
	  o Ensures the consistency of the criteria concerning the definition of objectives and targets, and also action plans for the different sites;
	  o Centralises the assessment procedure(s) concerning the relevance and efficiency of the action plans and EnPI;
	  o Takes into account and centralises data relating to energy performance to be in a position to present the energy performance for the full organisation, if applicable.

4.1	The audit phase 1 includes: a) confirmation of the field of application and scope of the EMS for certification; b) review of a geographic or explanatory description of the organisation's installations, its infrastructure, systems and procedures relating to the scope and field of application; c) confirmation of employee numbers dedicated to the EMS, the sources of energy, significant energy usages and annual consumption, to determine the duration of the audit; d) review of the documented results of the energy planning procedure; e) review of a list of identified energy performance improvement opportunities, the objectives, targets and action plans.
4.2 et 8	During the audit phase 2 and renewal audit, Bureau Veritas Certification shall gather the required audit evidence to determine whether the improvement in energy performance was made or not before taking a decision concerning certification. Confirmation of improved energy performance determines the attribution of the initial certification.
4.2.2	During an audit, the auditor shall collect and check the audit evidence relating to energy performance that shall contain at least the following: — energy planning (all sections); — operational management; — monitoring, measuring and analysis.
4.2.4	Major non-conformity: Non-conformity that affects the management system's capacity to achieve expected results Note 1: the following non-conformities may be ranked as major: — audit evidence the energy performance improvement has not been made; — major doubts concerning the presence of any efficient form of process control; — a certain number of minor non-conformities relating to the same requirements or a problem revealing a systemic dysfunction and resulting in a major non-conformity.
5	At the time a decision is to be taken concerning certification, if there is a major non-conformity at one site, the certification will be refused for the full structure until a satisfactory corrective action has been presented. The organisation may not exclude the site in question from the scope of certification during the certification process simply to eliminate the obstacle represented by the major non-conformity.
7.1	During monitoring audits, Bureau Veritas Certification shall again review the audit evidence necessary to determine whether the continued improvement in energy performance is working or not.
7.2	In the case of a multi-site organisation, Bureau Veritas Certification shall verify the following provisions. When non-conformities are noted at one of the sites, whether following an internal audit or certification audit, an investigation must be conducted to determine if the other sites are affected. Bureau Veritas Certification shall ask the organisation in question to review the non-conformities in order to determine if corrections or corrective actions are needed at the other sites. A recording of this review and justifications should be kept.

Specific rules relating to the certification programmes

OHSAS 18001

Relevant Paragraph	Additional rules
4.2.3	A non-conformity report is drawn up when one of the following points is noted: • Non-conformity following the non-respect of applicable regulatory and legal requirements in relation to safety, and • Absence of an action plan, or action plan not performed or not relevant, and • Major risk The following situations may exist: 1 – the organisation can provide proof of action implemented within 90 days and the non-conformity is closed. 2 – the non-conformity cannot be closed within 90 days but it does not present a risk to people. The production of a detailed action plan and proof of the implementation of the first stages of the action plan can close the non-conformity. A control is obligatory during the monitoring visits. 3 – the non-conformity cannot be closed within the 90 days and it presents a risk to people: immediate curative action must be deployed to bring the risk down to an acceptable level; proof of the curative action must be provided. The implementation of curative action and the detailed action plan can close the non-conformity. A control is obligatory during the monitoring visits.

Specific rules relating to the certification programmes

ISO TS 16949/ IATF 16949

Relevant paragraph	Additional rules
1.1.2	For multi-site contracts, sampling is not permitted
4	Consultants may not participate in the audits
4.1	Phase 1 must be conducted on-site
4.2.3	In the event of major NCs, the organisation must provide an analysis of the causes and corrective actions within 20 days
5	The final report is sent to the IATF
6	Use of the IATF logo is prohibited
7.1	Follow-up audits should be programmed on the anniversary of the certification decision, with a leeway of -3 months to + 1 month
8	A renewal audit should be performed between -3 months and + 0 of the last day of the previous certification audit
11	If the organisation is monitored by an automobile manufacturer, it must provide this information to Bureau Veritas Certification within 5 days
14	Any decision to suspend certification is also sent to the IATF