

Management of Certification – Client Guidance

1. Granting Certification

- Ocean Certification shall carry out an initial assessment of the organisation's management system
- Certification shall not be granted until the Report Verifier has concurred with the recommendation made in the Phase 2 assessment report.
- The verifier will be an Ocean Certification Lead Assessor who has not been involved in the assessment process
- If the Report Verifier overturns the decision the Governing Board shall be informed of the Report Verifier's action and shall decide what further steps to take. This decision shall be binding on Ocean.
- When all the specified criteria for the granting of certification have been met, including the close out of any non-conformances, Ocean Certification may issue the client with a certificate
- A copy of Ocean Certification's 'Rules of Certification' will be sent with the first issued certificate.

2. Maintaining Certification

- During the term of the certificate(s) Ocean Certification shall carry out annual surveillance assessments of the organisation's management system. Surveillance visits shall be not more than 12 months after the date of initial certification.
- Plans for the surveillance assessments will be based on the plans published in the back of their previous reports.
- These shall broadly follow the program outlined in their 3-year plan.
- PAS 2030 clients undergo an initial assessment & inspection initially and thereafter on a rolling basis annually.
- The client will be contacted to arrange each required assessment/inspection visit.
- Certification can be maintained when a recommendation for continued certification has been made in the auditor's report.
- Certification shall be maintained providing the Report Verifier concurs with the recommendation to do so made by the Lead Auditor in their Surveillance assessment report.
- If the report recommendation is overturned, the Governing Board shall be informed of the Report Verifier's action and shall decide what further steps to take.
- This decision shall be binding on Ocean.

3. Notification of Changes which may affect conformity

- Clients must notify Ocean Certification of any change or intended change to the management system,
- If there are changes to the Certification Scheme, Ocean must notify the client and, if necessary, verify the changes at surveillance or assessment.
- Changes may be made known to assessors during assessments, by the client making Ocean aware of changes or by the client in response to communication from Ocean.
- If noted during audit, the Lead Assessor shall verify any changes and record all this information in the Assessment Report.
- Types of changes which may affect Conformity include but are not limited to:
 - legal, change of ownership, key personnel
 - Changes to the number of staff
 - New sites/addresses
 - New processes/activities/areas of business
 - New management system standards to be added to the scope

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- Ocean will review the potential impact of any changes which may affect the scope of a clients' certified management system.
- The outcome of any review may include:
 - No additional assessment effort required
 - Additional effort is required and discussions are entered in to and new quotations will be provided as necessary
- Re-assessment following significant changes will, where practicable, coincide with the current certification cycle
- On completion of the assessment process and verification, Ocean Certification may issue a new certificate containing the new details.
- Ocean head office shall ensure that all superseded certificates are returned

4. Re-assessments (triennial)

- Reassessments will, where practicable, up to 2 months prior to the "valid until" date on the certificate, ahead of the third anniversary of the client's certification assessment.
- The Lead Auditor will plan and carry out the re-assessment
- Re-certification will be granted as per section 1 above

5. Reassessment following a complaint

- If a complaint is received regarding an Ocean certified client, this will be investigated in consultation with the client and also referred to the Governing Body.
- Ocean shall analyse the complaint and make a recommendation to the Board of whether a reassessment should be carried out.
- If a reassessment is agreed on, Ocean shall determine the scope of the reassessment and shall provide the client with those details.
- Re-assessment shall be carried out as per section 4 above

6. Suspension/Withdrawal and Restoral of Certification

The suspension of certification of a client's documented management system shall take place if the client:

- requests that certification be ended
- has not paid fees owing and due process has been exhausted
- has failed to take corrective action as requested
- fails to schedule required surveillances / reassessments
- fails to make available to Ocean the records of communications and action taken in relation to the requirements of a standard
- incorrectly references the certification system
- uses certificates / logos in a misleading manner
- fails to meet the certification requirements of part of their scope
- Certification shall not be restored until Ocean is satisfied that the reasons giving rise to suspension have been addressed