



KENYA BUREAU OF STANDARDS – CERTIFICATION BODY

MANAGEMENT SYSTEM CERTIFICATION – THE PROCEDURE

Step 1: Preliminary investigation

When a client expresses interest in certification services, the KEBS CB determines whether the client is sufficiently prepared for the audit process. The client is requested to complete the Initial questionnaire, CER/F/2. *(this form may be downloaded from the kebs website: www.kebs.org).* The client is also issued with the sample contract.

If the client is found not to be ready, the CB provides feedback on the gaps identified.

Step 2: Application

If the client is found to be ready, a cost quotation is done, based on the information given in CER/F/2, and if this is acceptable to the client, the client completes the formal application form, CER/F/1 and submits it together with the application fee.

Note: *Completion of CER/F/1 is an indication that the client has accepted the cost quotation and has read and understood the conditions of contract.*

Step 3: Stage one audit

Certification audits are done in two stages; i.e. stage one and two.

This stage one audit is done to:

- audit the client's documentation against the normative document requirements.
- evaluate if the client's internal audit and management reviews are being planned and performed and if they are effective
- provide focus for the stage 2 audit and agree with the client on the details for the stage two audit
- to confirm information given in CER/F/2 and collect information regarding the scope of the audit

For the initial certification audit, part of the stage one audit must be at the client's premises.

The time period between the stage one and the stage two audit is dependent on the gaps identified during the stage one audit and is mutually agreed between the CB and the client. In any case this time period shall not be more than 6 months. If the six months lapse before the stage 2 audit is done, another stage 1 audit must be performed. If a client's management system is found, after the stage 1 audit, not to be ready for stage two, another stage 1 audit shall be performed at the appropriate time.

Stage 4: Stage two audit

The stage two audit is done on site and its main objective is to evaluate the implementation well as the effectiveness of the client's management system.

The audit includes an examination of at least the following:

- (a) information and evidence about conformity to all requirements of the applicable management system standard or other normative document

- (b) performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document)
- (c) the client's management system and performance as regards legal compliance
- (d) operational control of the client's processes
- (e) internal auditing and management review processes
- (f) management responsibility for the client's policies
- (g) links between the normative requirements, policy, performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document), any applicable legal requirements, responsibilities, competence of personnel, operations, procedures, performance data and internal audit findings and conclusions.

During this audit non-conformities may be raised. These nonconformities are classified as either **major** or **minor**.

When major nonconformities are raised, the process of certification decision making shall not begin until the corrective actions have been undertaken by the auditee and effectiveness thereof been evaluated and found to be effective.

For minor nonconformities the recommendation for certification can be made based on an acceptable corrective action plan and the effectiveness of the corrective action shall then be evaluated at the next audit. The time for carrying out of the corrective action shall therefore be determined by the auditee/client and submitted as part of the corrective action plan.

Corrective action plans must be submitted for all nonconformities. The time for submitting of corrective action plan by the auditee/client is a maximum of 2 weeks and the auditor/CB must indicate acceptance of the plan before the client undertakes the actions therein.

Stage 5: Certification decision

After the follow-up audit, during which time the corrective action from the stage two audit are confirmed to have been carried out, the audit findings and conclusions are evaluated by a peer audit and the case officer who then makes recommendations to the certification committee. The committee makes the certification decision.

Once certified, the certificate is valid for 3 years

Stage 6: Surveillance

For the first contract period, surveillance audits are carried out every six months. For subsequent contracts the frequency may be reduced depending on the status of the management system. In any case the frequency shall not be less than once a year.

Stage 7: Recertification

This is virtually identical to the initial audit except that the stage one audit does not have to be on site