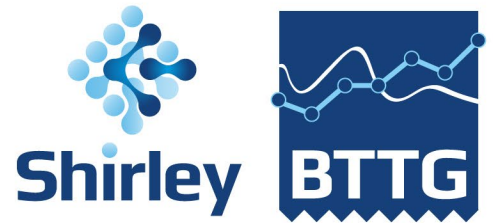


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TESTING • CERTIFICATION • AUDITING

Shirley Technologies Limited - Publicly available information for ISO/IEC 17021-1 – Certification of Management Systems

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1. Types of management systems and certification schemes

Shirley Technologies Limited, trading as BTTG®, is a Certification Body, accredited by United Kingdom Accreditation Service to ISO/IEC 17021- 1:2015 (accreditation number 0246), to provide quality management systems certification to ISO 9001:2015.

Shirley Technologies Limited, trading as BTTG®, is also accredited by United Kingdom Accreditation Service to ISO/IEC 17065:2012 (accreditation number 5368), to provide product conformity certification to UK legislation, and for EU legislation as it applies in Northern Ireland.

BTTG® operate a combined certification quality management system, and use the principles of ISO/IEC 17021-1 for the assessment and certification of production facilities according to the certification schemes accredited to ISO/IEC 17065:2012. The BTTG® 'Publicly available information' for ISO/IEC 17065 can be found at:

<https://www.bttg.co.uk/index.php/about-us/publicly-available-information/>

2. Granting Certification (Initial Certification)

Certification is granted to a client when they successfully demonstrate that their quality management system meets the requirements of ISO 9001:20015 for the scope for which they have applied.

Initial certification follows a 2-stage process. Stage 1 will normally include a desktop review of the client's management system documented information, but can involve an initial on-site audit.

Stage 2 evaluates the implementation of the client's management system, and takes place at the site(s) of the client.

3. Transfer of Certification

Transfer of certification from another certification body requires a 2-stage process, with Stage 1 normally being a desktop review, and Stage 2 being an on-site audit.

The decision to grant certification is made by one of the BTTG® Decision Makers, upon reviewing the information and recommendation provided by the BTTG® auditors, including the corrective actions taken to clear any non-conformities.

4. Refusing Certification

The decision to refuse certification is made by one of the BTTG® Decision Makers, when a client cannot demonstrate that their quality management system meets the requirements of ISO 9001:2015 for the scope for which they have applied.

5. Maintenance of Certification

Surveillance activities include on-site auditing of the client's management system. Surveillance audits are on-site audits, but are not necessarily full system audits.

Certification is maintained provided that the client complies with the conditions of certification:

- The address of the client is that which appears on the certificate;
- The certificate has not been transferred or assigned to another organisation;
- The certificate has not been lost, duplicated or altered without the authorisation of BTTG®;
- The client is not promoting certification for products or services other than those covered by the certificate;
- The client is not claiming compliance with other standards through the use of the certificate or audit report other than that appearing on the certificate;
- Certificates or promotional materials associated with them are not promoting erroneous or misleading information;
- The client must permit ongoing surveillance and access to documentation and records, and access to the relevant equipment, location(s), area(s), personnel and client subcontractors;
- The client must investigate complaints associated with the certified products or services. Records of such complaints, and actions taken, must be kept by the client and made available to BTTG® when requested;
- The client must allow participation of observers during surveillance audits when requested.

For any major nonconformity or other situation that may lead to suspension or withdrawal of certification, one of the BTTG® Decision Makers will determine whether certification can be maintained.

6. Renewal of Certification

Renewal of Certification requires a re-assessment audit to confirm the continued conformity and effectiveness of the management system as a whole, and its continued relevance and applicability for the scope of certification. This re-assessment audit will normally be conducted at least 3 months before the certificate expiry date to allow for closure of any corrective actions and the reissue of the certification.

The recertification activity includes the review of previous surveillance audit reports and considers the performance of the management system over the most recent certification cycle.

7. Suspension of Certification

Suspension of certification occurs when BTTG® believes that:

- misuse of the certification has seriously breached the conditions of certification;
- the clients management system has persistently failed to meet certification requirements;
- the client has not enabled surveillance audits or recertification audits to be conducted at the prescribed intervals;
- the certified client has requested the suspension of a certification;
- there is a dispute over certificate ownership.

The client will be required to:

- Cease promoting their certification on advertising material;
- Submit corrective action, if appropriate;
- Allow access to the BTTG® audit team to conduct an investigatory audit, if this is deemed appropriate, prior to lifting the suspension.

Suspension is limited to a maximum period of 6 months before certification withdrawal commences.

If certification is suspended, the client's management system certification is temporarily invalid. The client must discontinue its use of all advertising matter that contains any reference to the certification.

8. Restoring Certification

BTTG® will restore the suspended certification if the issue that has resulted in the suspension has been resolved. Where evidence is submitted or audits performed, one of the BTTG® Decision Makers will determine whether certification can be reinstated, or whether the scope of certification should be limited, or certification should be withdrawn.

9. Withdrawing Certification

BTTG® may withdraw certificates in the following cases:

- The client informs BTTG® in writing that the certification is no longer required, or that they do not wish to maintain the validity of the Certificate;
- Wind-up of the client without a legal successor;
- Unauthorised use of the Certificate;
- The client is in breach of the certification agreement;
- The client does not accept scheduled surveillance or re-assessment audits;
- A serious non-conformity reoccurs in two consecutive audits;
- Non-conformities raised in the audits are not corrected within the time limit prescribed by BTTG®;
- The maximum period of a suspension has ended and corrective actions required were not carried out.

Complaints can also result in certification withdrawal and will be judged by one of the BTTG® Decision Makers on a case by case basis.

Upon withdrawal of certification, the client must discontinue its use of all advertising matter that contains any reference to the certification.

10. Expanding the scope of Certification

A client wishing to expand the scope of certification must submit an application with details of the requested extension. BTTG® will review the application and any submitted documentation. An additional audit may be necessary, or it may be combined with a surveillance audit.

11. Reducing the scope of Certification

The scope of certification may be reduced in the following circumstances:

- At the client's request;
- Following suspension of the certification;
- If the client has persistently or seriously failed to meet the requirements for those parts of the scope.

12. Audit process

On-site audits are conducted according to the principles of ISO/IEC 17021-1.

- An audit plan will be provided (including type and scope of audit, objectives and criteria).
- A formal opening meeting will be held.
- Information relevant to the audit objectives, scope and criteria (including information relating to

interfaces between functions, activities and processes) will be obtained by appropriate sampling.

- Methods to obtain information can include interviews, observation of processes and activities, and review of documentation and records.
- Audit findings summarizing conformity and detailing nonconformity will be identified and classified.
- Opportunities for improvement may be identified and recorded.
- Nonconformities will be recorded against a specific requirement, and will contain a clear statement of the nonconformity.
- Nonconformities will be discussed with the client to ensure that the evidence is accurate and that the nonconformities are understood.
- A formal closing meeting will be held in order to present the audit conclusions, and the recommendation regarding certification. The client will be given an opportunity for questions
- The timeframe for responding to nonconformities will be agreed.
- An audit report will be provided to the client. Ownership of the audit report remains with BTTG®.

13. The use of the BTTG® name and certification mark

Information and requirements for the use of the BTTG® name and certification mark is given to each certified client. Copies of this document can be supplied on request to certified clients.

General rules:

- Only clients certified by BTTG® are able to use the Certification Mark.
- Users of the Certification Mark are encouraged to accompany it with the certificate number allocated by BTTG®. Use of the Certification Mark is free of charge.
- Any organisation applying the Certification Mark must not imply that it is the product which is certified.
- The Certification Mark is only applicable to BTTG® Certification Services and not to other BTTG® Group activities such as product testing.
- It is prohibited to alter typefaces, colours or standard references of the Certification Mark.
- The Certification Mark cannot be applied to product or primary packaging or other packaging which is used to communicate product information to the user.
- The Certification Mark cannot be used on test certificates or calibration certificates.

BTTG® will normally allow the Certification Mark to be used as follows:

- On marketing literature, brochures, company leaflets and reports.
- Corporate advertising or websites.
- On vehicles.
- On signs and flags.
- On exhibition equipment and stands.

The UKAS Accreditation Symbol is also available to use by certificated clients but additional restrictions apply.

14. Requests for information

BTTG® will provide, upon request, information about:

- The geographical areas in which it operates;
- The status of a given certification;
- The name, standard, scope and geographical location (city and country) for a specific certified client.

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Requests should be made to BTTG® using the contact details listed above.

15. Complaints

A complaint is any formal expression of dissatisfaction raised with BTTG® in regard to its certification activities, its clients, or its services to clients.

All such complaints will be processed using the BTTG® procedure for complaints management. If the complaint is not in writing, confirmation will be requested. Complaints will be acknowledged in writing, and investigated. The complainant will be advised of the outcome of the investigation. Complainants have the right of appeal, when a complaint is not resolved to the satisfaction of the complainant.

BTTG® will determine, together with the complainant and the certified client, whether and, if so to what extent, the subject of the complaint and its resolution is made public.

16. Appeals

An appeal is a formal review process when a client disagrees with a certification decision made by BTTG®, either to certify or not to certify.

Appeals must be received within 6 weeks of the certification decision. If the appeal is not in writing, confirmation will be requested. One of the BTTG® Decision Makers will review the appeal. If it is rejected, the appellant will be informed of the reasons.

If the appeal is rejected, the complainant may seek a further appeal. An Appeals Panel will be appointed, including The BTTG® Managing Director and a representative from the BTTG® Certification Management Committee, which will review the appeal.

Representatives from BTTG®, technical experts, and the appellant will be invited to attend, as deemed necessary. The Appeals Panel will make a decision and set out any appropriate corrective action.

17. Policy on impartiality

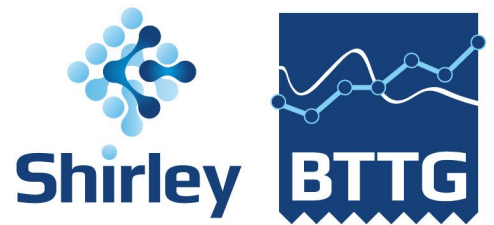
Shirley Technologies Limited, trading as BTTG®, offers services within the framework of United Kingdom product safety Regulations, Internationally renowned Quality Management Systems, and Accredited and Investigative Testing through conformity assessment by United Kingdom Accreditation Services (UKAS).

We, at Shirley Technologies Limited, understand the importance of impartiality and the avoidance of conflicts of interest, and have established relevant policies and procedures within the Quality Management System. To support these policies and procedures, clauses within the Terms and Conditions of employment for our staff, and maintenance of additional signed Confidentiality Agreements and Conflict of Interest Statements for all Certification Decision makers have been implemented.

In addition a Certification Management Committee made up of a majority membership of external members is in operation. This committee is responsible for reviewing, evaluating and recommending actions relating to risks to certification process and impartiality as well as considering public perceptions, openness and other factors that

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could impact on the confidence in the certification process.

In establishing these policies, procedures and committee, by conducting certification activities in line with our internal management system, and by maintaining our Accreditation, Registration and Approved Body statuses through Third Party assessment, Shirley Technologies Limited ensures the objectivity of all work we deliver to existing and new customers alike.