

A Guide to WinMark Quality Management Systems Certification

Introduction

Wintech Engineering Ltd provides third party certification for ISO 9001:2015 Quality Management Systems (QMS).

Wintech Engineering Ltd operates in accordance with the International Standard “ISO/IEC 17021-1:2015 Conformity Assessment – Requirements for Bodies Providing Audit and Certification of Management Systems” Part 1: Requirements. Please see a copy of our current UKAS scope of accreditation.

Wintech Engineering Ltd is based in the West Midlands and offers its services throughout the UK to organisations specialising in the fabrication of windows, doors, curtain walling and Rainscreen products.

Throughout this guide the customer is referred to as an ‘Organisation’.

Certification

The adoption of a quality management system is a strategic decision for an organisation that can help to improve its overall performance and provide a basis for sustainable development initiatives. Certification to these management standards will help provide assurance that an organisation is capable of meeting the requirements that are set out in the standard. QMS Certification can be key to establishing working relationships with new companies and sites that will often only do business with vendors that are certified to ISO 9001.

ISO 17021-1 requires that the Initial Certification audit is split into two stages:

- Stage 1 Audit – A documentation review and assessment as to the readiness of the organisation to progress onto a full management system Stage 2 audit.
- Stage 2 Audit – A full management system audit, reviewing all processes and procedures in place.

ISO 17021-1 requires certification bodies to conduct a three year cycle of audits:

- Initial Certification – Includes a Stage 1 and Stage 2 audit
- Year 1 – Surveillance Audit
- Year 2 – Surveillance Audit

In the 3rd year a full Stage 2 ‘Recertification’ audit is carried out to ensure that the organisation continues to fulfil the standards requirements.

Please note that the audits carried out as outlined above are based on limited sampling. If discrepancies are not discovered, it is not guaranteed that they do not exist.

Risk-based thinking

ISO 9001:2015 refers to risk and opportunities. The organisation must have evidence that they have determined, considered and, where necessary, taken action to address any risks and opportunities that may impact, either positively or negatively, on their quality management system’s ability to deliver its intended results or that could impact customer satisfaction.

1.0 Application

Application for Certification

The first step to management certification requires the organisation to complete our application form (WEL 322). The information provided will enable Wintech to understand the nature of your organisation's business, products or services and location.

Wintech Engineering Limited

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VAT REGISTERED: No. 661141662 REGISTERED IN ENGLAND: No. 2810526



When a completed application form is received, Wintech will provide a quotation for the full 3 year certification cycle to the organisation. If the organisation wishes to proceed with our quotation the receipt of a purchase order number or an 'instruction to proceed' will enable the certification process to be planned and confirmed by Wintech. A copy of the organisations documented procedures and policies will also be requested.

2.0 Initial Audit and Certification

Stage 1 Audit

The purpose of the Stage 1 audit is to assess the organisation's documented procedures and policies against the requirements of the relevant management system, and to identify and report potential non-conformities prior to a Stage 2 audit.

Typically a Stage 1 audit must be onsite and will include:

- An opening meeting.
- The review of the management system documentation.
- The evaluation of the organisations site specific conditions, locations, processes and equipment used, levels and controls established and the applicable statutory and regulatory requirements.
- Discussions with key personnel to determine the organisations readiness for the Stage 2 audit.
- A review of the organisations understanding of the requirements outlined in the relevant management system, in regards to key aspects of the organisations management system.
- An evaluation of the organisations internal audits and management reviews to ensure readiness for the Stage 2 audit.

A final meeting will be conducted at the end of the Stage 1 audit which will provide the organisation with documented conclusions of the Stage 1 audit findings and the readiness of the organisation for a Stage 2 audit. The Stage 2 audit can then be planned based on the conclusions drawn from this part of the certification process i.e. sufficient time will be allowed for any non-conformity to be rectified and implemented by the organisation.

Stage 2 Audit

The purpose of the Stage 2 audit is to evaluate the implementation, including effectiveness, of the organisations management system. The Stage 2 audits are conducted at the organisations site(s) which are listed on the application form and confirmed in the Stage 1 audit.

The Stage 2 audit is onsite and will include the review and evaluation of at least the following:

- An opening meeting.
- The review of the management system documentation.
- The organisations management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements.
- All information and evidence available demonstrating conformity to the requirements of ISO 9001.
- Evidence of performance monitoring, measuring, reporting and reviewing against key performance objectives and targets.
- The organisations operational control of their processes.
- The organisations internal auditing and management review.
- Management responsibility for the organisations policies.

A final meeting will be conducted at the end of the Stage 2 audit which will provide the organisation with documented conclusions of audit findings and the next steps to be taken. If any non-conformities are identified a time frame can be agreed with the organisation to submit their corrective actions by email or post for evaluation.

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Following the completion of the Stage 2 audit, the auditor's report will be reviewed by the nominated Wintech certification decision maker. This will include a review of the audit report and any corrective actions that the organisation has implemented to close out any non-conformities identified during the audits. On satisfactory completion of these activities and upon payment of our services WinMark management certification will be issued. A WinMark certification agreement will also need to be signed by the organisation.

3.0 Maintaining Certification

Surveillance and Recertification

WinMark management certification is valid for a three year period and is monitored at yearly intervals.

Surveillance Audits are carried out at the organisations site at least once each year. All audits carried out are by appointment only and are preceded by an audit visit plan from Wintech. This ensures availability of all relevant personnel and the supporting documentation required for the audit.

In order to continue the certification at the end of the three year cycle, Wintech will perform a full re-audit of the organisation for recertification. This will be as per the Stage 2 audit defined in section 2.0.

Following successful completion of the recertification audit a new WinMark certificate will then be issued.

Extension to the Scope of Certification

Extensions to the certified organisations scope are possible at any stage. Audits for this extension can be carried out at the same time as a routine surveillance visit, but not instead of.

Short Notice Audits

In exceptional circumstances it may be necessary that Wintech conducts an audit at short notice; to investigate complaints or in response to changes, or to re-assess an organisation that has had certification suspended.

4.0 Suspending, withdrawing or reducing the scope of certification

Suspending Certification

Wintech will review and may suspend certification in cases when, for example:

- An organisations management system has persistently or seriously failed to meet certification requirements.
- An organisation does not allow surveillance audits to be conducted in a time frame defined by Wintech.
- The organisation has voluntarily requested a suspension.
- At the end of the 3 year audit cycle period, if recertification is not requested.

When under suspension the organisation's certification will be invalid. Failure to resolve the issues which resulted in the suspension of certification will result in the withdrawal of certification.

Reduction to Certified Scope

Wintech will review and may reduce the organisations certified scope to exclude any parts or sites not meeting the certification requirements. For example, if an organisation has continually failed to meet the certification requirements.

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Wintech shall review and may withdraw certification if issues leading to the suspension are not resolved. The organisation will not be able to continue to promote as being certified.

5.0 Complaints and Appeals

Complaints

The Wintech complaints procedure can be found on Wintech's website or can be made available upon request.

Appeals

Organisations have the right to appeal, information on the Wintech appeals procedure can be found on Wintech website or can be made available upon request.

6.0 Certification status

Certification Information

Information regarding the status and validity of a WinMark certified organisation is available on the Wintech website. This includes at least the name, location, certification scheme and the certification status of the organisation.

WinMark Certificate

Upon granting certification, the organisation will be issued with an electronic copy for its website, marketing material etc. hard copy certificates are available upon request.

Logos

Upon granting of certification, the WinMark certification logo can be used on an organisations website and any promotional or advertising literature including company letterheads, email signatures and brochures, etc.

Confidentiality

All information held by Wintech will be treated in strict confidence and will not be disclosed to any other party without prior written consent of the organisation, except as required by any international laws or by other relevant accreditation bodies.

Impartiality

Wintech identifies any risks to its impartiality on an ongoing basis and ensures that all certification activities are undertaken impartially and shall not allow commercial, financial or other pressures to compromise impartiality. Wintech's impartiality policy is publically available and can be downloaded from our website.

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