<table>
<tr><td></td></tr>
</table>

Description of the certification procedure MS – SCC and SCP	**TÜV NORD** *Certification*

Table of contents

If you should require any further information then please do not hesitate to contact us. We will be please to help you.

Please contact us via mail to info.tncert@tuev-nord.de or by telephone 0800 245 74 57 (Free-phone from within Germany) or +49 511 9986-1222 from abroad.

TÜV NORD CERT GmbH
Langemarckstraße 20
45141 Essen
Germany

www.tuev-nord-cert.com

The certification procedure for the management system based on the SCC standard consists of the offer and contract phase, audit preparation, implementation of the Stage 1 audit with evaluation of the management documentation, implementation of the Stage 2 audit, issue of the certificate and surveillance/recertification.

The auditors are selected by the Head of the Certification Body of TÜV NORD CERT GmbH in cooperation with the SCC Coordinator according to the approval they hold for the sector and their qualification.

1   CERTIFICATION PROCEDURE

In MS-SCC and MS-SCP certification (SCC = Safety Certificate Contractors; SCP = Safety Certificate Personnel Leasing), management systems (MS) for Safety, Health and Environmental Protection (SGU) are certified based on the SCC checklist, and for personnel leasing based on the SCP checklist.

Target groups:
- Technical services contractors (Scope I), i.e. companies who provide certain services or work performances for a customer based on a contract for services or labour, also production companies and
- Personnel leasing companies (Scope II), who provide personnel for work (e.g. in refineries or chemical factories) in accordance with the Federal Temporary Employment Act.

It is possible to certify corporate entities, such as for example GmbH; branch offices or subsidiaries (in so far as these are mostly independent with regard to order acquisition and implementation) and organisational units such as for example service centres, administrative services agencies (in so far as the management function is present and technical services are performed independently from the operative point of view, with a permanent workforce).

There are three different levels of proof for certification of contractors in the SCC standard:
- "Unlimited certification SCC** " is carried out for companies which have more than 35 employees in the entire company and/or act as main contractors. Proof level SCC** is mandatory for main contractors, regardless of the number of employees.
- "Unlimited certification petrochemistry SCC^P " covers the same conditions like the certification SCC** added with special petrochemistry requirements.
- "Limited certification SCC* " is performed for companies which have fewer than 35 employees in the entire company.

The "SCP certification" applies for personnel leasing companies.

The prerequisites for certification are 100% fulfilment of the mandatory questions marked in the SCC / SCP checklist and fulfilment of at least >50% of the possible supplementary questions of the SCC / SCP checklist. In addition, the accident statistics must correspond to the rules stated in the SGU standard.

Evaluation	SCC*	SCC**	SCC^P	SCP
No. of mandatory questions to be fulfilled	27	40	44	29
Min. no of supplementary questions to be fulfilled	0	5 of 9	3 of 5	3 of 6
Accident statistics	The requirements for the accident statistics as certification criteria are described in detail in Document 003 of the SCC standard in Table 3.3 (regularly updated on the Internet)			

1.1 Audit Preparation

Following signing of the contract, the auditor prepares for the audit based on the questionnaire filled in by the customer and the calculation sheet, and discusses and agrees the further procedure with the organization to be audited.

During preparation for the surveillance or recertification audit, the organizations to be audited have the duty to report fundamental changes in their organisational structure or changes in procedure to the certification body.

1.2 Audit Stage 1

The Stage 1 audit is performed in order to

- audit the management system documentation of the customer. Here it is established if
  - the SGU-MS has been documented for at least three months,
  - the accident statistics fulfil the minimum requirements for certification,
  - the rules laid down in relation to the mandatory questions fulfil the minimum requirements of the SCC standard and
  - if the rules regarding branch offices and subsidiaries are used, a complete internal audit and a management review are present,
- assess the site and site-specific conditions of the customer and hold discussions with the personnel of the organization in order to determine the degree of preparedness for the Stage 2 audit,
- assess the status of the customer and his understanding of the requirements of the standards, particular with regard to identification of key performance or significant aspects, processes, objectives and operation of the management system,
- to collect necessary information regarding the scope of the management system, processes and location(s) of the client, and related statutory and regulatory aspects and compliance (e.g. quality, environmental, health and safety legal aspects of the client's operation, associated risks, etc.),

- review the allocation of resources for stage 2 audit and agree with the client on the details of the stage 2 audit,
- evaluate if the internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for the stage 2 audit.

If nonconformities were identified in the stage 1 audit, these must be corrected by the customer before the stage 2 audit.

If at the end it cannot be established positively that the customer is ready for the Stage 2 Audit, the audit is broken off after the Stage 1 Audit.

The lead auditor is responsible for the coordination of the activities of the stage 1 audit and if necessary for coordination and cooperation of the auditors concerned amongst themselves.

1.3 Audit Stage 2

The customer receives an audit plan at the beginning of the stage 2 audit. The plan is agreed with the customer in advance.

The audit begins with a start-up meeting, in which the participants are introduced to each other. The procedure to be followed in the audit is explained. Within the framework of the audit at the organization's premises, the auditors review and assess the effectiveness of the management system which has been installed. The basis for this is standard SCC respectively.

The task of the auditors is to compare the practical application of the management system with the documented processes and to assess them in relation to fulfilment of the requirements of the standard. This is achieved by means of questioning of the employees, examining the relevant documents, records, orders and guidelines and also by visiting relevant areas of the organization.

A final meeting takes place at the end of the on-site audit. At least those employees take part in the audit who have management functions within the organization and whose areas were included in the audit. The lead auditor reports on the individual elements and explains the positive and negative results. If nonconformities are established, the lead auditor can only recommend the organization for issue of the certificate after acceptance or verification of the corrective actions by the audit team, see Section 7 "Management of nonconformities". Attention must be drawn to this fact in the final meeting.

The audit is documented in the audit report (the documentation must be separate for stage 1 and stage 2 audits) and is completed by means of further records (e.g. audit questionnaire and hand-written records).

1.4 Award of Certificate

The certificate is issued when the certification procedure has been reviewed and released by the head of the certification body i in cooperation with the SCC Coordinator or his deputy or nominated representative. The person who reviews and releases the procedure may not have participated in the audit.

The certificate can only be issued when the nonconformities have been accepted or verified by the audit team.

Normally the certificates are valid for 3 years.

2 SURVEILLANCE AUDIT

Surveillance audits must be conducted once per year during the period of validity of the certificate.

- Surveillance audits shall be performed prior the due date / audit-relevant date.
- The audit-relevant date for the annual surveillance audit, which follows the initial certification audit, may not be later than 12 months after the last day of the stage 2 audit.
- The audit-relevant date controls all the surveillance audits.
- Each surveillance audit including review and acceptance and verification, if appropriate, of the measures for correction of nonconformities, drafting of the audit report and release by the certification body, must be completed at the latest 3 months after the audit-relevant date.
- Within the framework of annual surveillance, a surveillance audit can be conducted at the earliest 3 months before the audit-relevant date.

Permissible tolerance for conducting annual surveillance audits:

audit-relevant date -3/+ 0 months.

The client receives a report following the surveillance audit.

3 RECERTIFICATION AUDIT

Recertification audits – including the review of corrective actions of identified nonconformities – have to be completed prior to the expiry of the certificate. The recertification shall consider a continuous certification.

In the recertification audit, a review of the documentation of the management system of the organization takes place and an on-site audit is conducted, whereby the results of the previous surveillance programme(s) over the period of the certification are to be taken into consideration. All requirements of the standard are audited.
Activities related to the recertification audit may include a stage 1 audit if there are significant changes in the management system or in connection with the activities of the organization (e.g. changes to the law).

The audit methods used in the recertification audit correspond to those used in a stage 2 audit.

4 EXTENSION OF SCOPE AUDIT

If it is intended to extend the scope of an existing certificate, this can be implemented by means of an extension audit. An extension audit can be conducted within the framework of a surveillance audit, a recertification audit or at a time which is set independently.

The period of validity of a certificate does not change as a result. Exceptions must be justified in writing.

4.1   Short Notice Audits

It may be necessary at short notice to investigate complaint, in response to changes or as follow up on suspended client. In such cases

- the certification body shall describe the conditions under which these short notice announced visits are to be conducted,
- it does not exist the possibility to raise against members of the audit team Objection.

5   TRANSFER OF CERTIFICATION FROM OTHER CERTIFICATION BODIES

In general, only certificates from accredited certification bodies can be taken over. Organizations with certificates which originate from non-accredited certification bodies are treated like new clients.

A "Pre-Transfer-Review" must be conducted by a competent person from the certification body which is taking over the certificate. This review generally consists of an examination of important documents and a visit to the client.

Certificates which have been suspended, or where there is risk of suspension, may not be taken over. Any nonconformities which have not been corrected should as far as practicable be clarified with the previous Certifier before the takeover. Otherwise they must be dealt with in the audit.

The further surveillance programme is based on the programme which has been in place up to the time of the takeover of the certificate.

6   CERTIFICATION OF COMPANIES WITH MULTIPLE LOCATIONS (MULTI-SITE)

If an organization which has several sites is certified to DIN EN ISO 9001 or DIN EN ISO 14001 or ISO/TS 29001 or BS OHSAS 18001, these sites must also be audited. Certification of organizations with several production sites/branch offices/locations etc. with similar types of activity and which operate under a single management system may be done alone by means of random sampling procedure.

If a company which maintains several locations is certified according to the SCC standard, these locations must also be audited. Certification of companies with several factories/branch offices/ locations etc. with a similar activity profile which all fall under a unified management system is performed through use of a random sampling procedure within the framework of the branch audit rules for contractors or by means of project selection for personnel leasing companies.

7   MANAGEMENT OF NON-CONFORMITIES

An analysis of the causes must be performed for each nonconformity and corresponding corrective actions must be implemented. The organization has the duty, depending on the seriousness of the nonconformity, to inform the audit team within 90 days either with regard to the corrective actions which have been laid down and the dates for their implementation or that the corrective actions have been implemented. If this period is not observed, the audit is considered not to be successful, i.e. not to be passed. No certificate can be issued, or an existing certificate is withdrawn.