General information regarding elements of the certification process is described below. A degree of flexibility and options in the certification process are available so please feel free to contact us to discuss how we can better serve your organization.

SAI Global Full Service Team

Upon selection of SAI Global as your Registrar and submission of the signed Application for Certification, SAI Global will assign your dedicated service team.

Your service team will be selected to suit your specific industry and will consist of an Account Manager, a Regional Account Representative, a Lead Auditor and other team members as needed to support your certification. The roles of each member of your service team are as follows: your Account Manager will manage the business relationship, including contract negotiation and changes to your certification requirements; your Regional Account Representative will manage the back office processes including scheduling and customer service related to certificates and invoicing; your Lead Auditor will manage the delivery relationship. As your primary contact with SAI Global, the Lead Auditor assigned provides you with ongoing industry developments and interpretations and ensures coordination of all audit-related activities for your company. If additional audit team members are required, they are selected from our experienced auditor base. Your audits will be consistent in approach, technically sound and relevant to your business needs.

Introductory Visit – (Optional) (formally referred to as a Preliminary Assessment)
An introductory visit is an on-site assessment conducted prior to the Stage 1 Certification Audit. The introductory visit allows for the identification of any major implementation issues and feedback regarding your implementation readiness. We recommend that your introductory visit be scheduled at least 30 days prior to the Stage 1 Audit.

Certification Audit

The goal of the certification audit is to assess the effective implementation of your management system to the requirements of the standard and your management system documentation. The audit is conducted in two Stages.
The Stage 1 audit is generally conducted on site and consists of a documentation review and readiness evaluation and establishes the audit scope and audit plan.
The Stage 2 audit is conducted on site and consists of a review to ensure that the management system has been fully implemented and is in conformance to the requirements of the standard or normative document.

All audit activities are mutually planned with your assigned Auditor prior to the audit. An audit plan is provided detailing the scope and objectives of both the Stage 1 and Stage 2 audit, the audit team members, the processes to be audited and the timelines. While onsite your audit team will work to verify that the management system meets the requirements of the standard and your system documentation by assessing objective evidence. At the conclusion of the onsite audit, you will be immediately informed of the results. A formal audit report will be issued after the audit. The report includes information relative to positive aspects of the system, opportunities for improvement and system non-conformances.

Please note that if you request the option of having the Stage 1 and Stage 2 Audits conducted back to back a potential risk is present in that unacceptable Stage 1 audit results may require the cancellation of the Stage 2 audit with the application of cancellation fees as outlined in the terms and conditions.

Certificate Issuance

Upon successful completion of the certification process (including resolution of non-conformances if applicable), your Team Leader compiles a Certification Package for review by our Certification Team. Upon completion of the review, the Certification Team prepares and forwards your Certificate of Registration. Your certificate will include details such as: legal company name, site address, standard, scope of certification, the initial certification date and the expiry date.

The official certificate is forwarded, along with a link to our marketing website. The Marketing tools will provide you with useful ideas on how to capitalize on your ISO certification, provide you with the official 'SAI Global registered mark' artwork and the guidelines of use. Your successful certification will also be published in our online Directory of Registered Companies, at www.saiglobal.com.

Surveillance Audits

Surveillance audits are periodic audits of your management system. The purpose of surveillance audits is to ensure the management system is being maintained during the effective period of certification. To provide you with as much flexibility as possible, SAI Global offers two surveillance frequency options: Annual and Semi-annual.

- Semi-Annual audits are conducted every six months. This option offers more frequent interaction with your audit team, to ensure your management system is working efficiently and to facilitate the rate of continuous improvement.
- Annual audits are conducted every twelve months, as a minimum.

Re-certification audit

Re-certification Audits are scheduled before 3-year mark, usually 3 months before the certificate expiry date.
The purpose is to ensure:

- The effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of the Certification
- Client demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance.
- Whether the operation of the certified management system contributes to the achievement of the organization's policy and objectives

Supplemental Scheme Requirements – RC14001/RCMS

1. The ACC has established minimum sampling requirements of U.S. facilities for member organizations. Once the minimum sample is complete, ACC will recognize the organization as having met its Responsible Care obligations for the current 3 year cycle. The sample can be achieved through any combination of RC14001 and RCMS audits. The completion of the ACC sample does not include recognition of sites not visited.
2. For RCMS,
   a. the client shall commit to continually fulfull the requirements of certification of its RCMS and to changes to requirements for certification in accordance with the transition periods as duly announced
   b. the client may choose RCMS Option 1, which requires annual surveillance audits or RCMS Option 2, which does not.
      - RCMS Certificate (Option 1) – This type of document is to be used when the client conducts surveillance audits and the effective dates can span three (3) years from the date of the certification decision.
      - RCMS Statement of Conformity (Option 2) – This document will state that as of the date of issue, the organization's management system was conforming to the requirements found in the RCMS Technical Specification. The effective date will correspond to the date the document is issued. It cannot span a period of time. This type of document is used when a client elects not to conduct surveillance audits.
        Note: The absence of an expiration date on an RCMS Statement of Conformity should not be inferred to mean "in perpetuity" as the ACC member/Responsible Care Partner is expected to fulfill its Responsible Care Third-Party Audit Requirement in each subsequent ACC Audit Cycle.

   b. multi-site certification is available only with RCMS Option 1, if the requirements of IAF MD 1 are met, otherwise single site certificates will be provided.
   c. The audit team shall:
      - Examine and verify the structure, policies, procedures, records and related documents of the client relevant to the RCMS;
      - Determine that these meet all the requirements relevant to the intended scope of audit and the RCMS Technical Specification;
      - Determine that the processes and procedures are established, implemented and maintained effectively, to provide a basis for confidence in the client's RCMS; and,
      - Communicate to the client any inconsistencies between the client's policy, objectives and targets and the results.

   3. For the ANAB RCMS Symbol
      - Clients may use the ANAB approval symbol only in conjunction with the approved SAI Global symbol on documents that relate to the approved RCMS, and in its advertising, subject to the conditions herein and SAI Global's conditions for use of its symbol.
      - The ANAB RCMS approval symbol shall be reproduced:
        - In black on a white or light-colored background or in black, blue (PMS 286 or equivalent), and red (PMS 485 or equivalent).
        - In a size that makes all features of the symbol clearly distinguishable.
        - Without distortion of its dimensions.
        - When using the ANAB approval symbol, its size must not exceed the size of the SAI Global symbol.
        - The organization may not place the ANAB approval symbol in isolation from the SAI Global symbol.
        - The ANAB RCMS approval symbol is available from SAI Global upon request

