



## Clarification to the SERI Code of Practices

“Clarification” is an explanation of requirements in the COP. It is not auditable.

Clarification No.	COP Requirement	Guidance
1	<p>7.3.3 For QMS/EHSMS certifications qualified under same certification body, the auditor shall document the following:</p> <ul style="list-style-type: none"> <li>• details of validation of the QMS/EHSMS certificate scopes in the R2 audit report.</li> <li>• QMS/EHSMS Certifications, where a certificate has yet to be issued or cannot be verified as being valid, <b>shall be recorded as a Major NC.</b></li> </ul>	<p>An integrated management system audit is an audit where the QMS/EHSMS management systems audits are carried out in conjunction with the R2 audit by the same CB that is certifying the facility for R2. Audits that cease to be integrated must be re-evaluated for additional audit time. It is imperative that a CB understands that at no time will an R2 Certificate be valid where an applicable QMS and/or EHSMS certificates are invalid, including when there is a suspension of the QMS and/or EHSMS certificates.</p> <p><b><i>Application of this Clarification at Stage 1 and Stage 2 audits</i></b></p> <p>For a Stage 1 and 2 audit, a major NC is not required to be written if the audit is integrated, and the EHSMS and QMS certificates, as applicable, are issued PRIOR to issuing the R2 Certificate.</p> <p><b><i>Issuing R2 Certificates</i></b></p> <p>It is the CB’s responsibility to implement a process to ensure an R2 certificate is only issued <b>after</b> the QMS/EHSMS certificates have been issued. At no time shall an R2 Certificate be issued in advance of a QMS, and/or EHSMS Certificate.</p>