

Expansion of Certification Scope



What is Expansion of Certification Scope?

Expansion of scope means:

Adding new products, services, processes, sites, or activities to the existing certified management system.

Example:

- Adding a new factory site under ISO 9001 certification
- Including a new service line under ISO 27001 certification
- Expanding from local operations to international operations under the same certification

When Does Scope Expansion Occur?

- Organization begins new operations or processes under the same management system.
- Client requests certification to additional standards or codes.
- Business growth requiring alignment of new activities with certified processes.
- Regulatory or customer requirements mandating scope extension.

Step-by-Step Expansion of Certification Scope Process

Step 1: Client Request

- The client formally requests scope expansion to the Certification Body (CB), indicating:
 - Details of the new activities, products, or sites.
 - Processes involved and their locations.
 - Relevant documents reflecting scope expansion (updated manuals, procedures)

Step 2: Document Review

- The CB reviews:
 - Updated scope statement.
 - Management system documentation related to the new scope.
 - Risk assessments and controls applied to the new scope.

Step 3: Quotation and Agreement

- CB issues a quotation for the scope expansion audit.
- A revised agreement/addendum may be signed.

Step 4: Planning the Scope Expansion Audit

- CB assesses whether:
 - An on-site audit is required.
 - It can be combined with the next surveillance audit.
 - Partial audits or documentation reviews are sufficient for minor expansions.

Step 5: Conducting the Audit

- CB auditors verify:
 - Implementation of the management system in the expanded scope area.
 - Compliance with ISO requirements within the new processes/sites.
 - Integration of new processes with existing management system controls.
 - Employee competence and awareness in the new scope area.

Step 6: Handling Non-Conformities

- If NCs are found:
 - The client must submit root cause analysis and corrective actions.
 - Major NCs must be closed before approving the scope expansion.

Step 7: Certification Review and Decision

- The CB's technical reviewer verifies:
 - Adequacy of the audit for the expanded scope.
 - Closure of any NCs.
 - Continued compliance with ISO requirements.
- Decision options
 - Approve scope expansion
 - Request additional information or actions
 - Reject expansion if requirements are not fulfilled

Step 8: Issuance of Updated Certificate

- Upon approval:
 - A revised certificate is issued reflecting the expanded scope.
 - The scope description on the certificate and CB register is updated.
 - The client may now publicly claim the expanded certification scope.

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Key Considerations

- Expansion must align with the current management system and its controls.
- New processes/sites must demonstrate compliance and effective implementation.
- All relevant statutory and regulatory requirements must be considered.
- Expansion audits are chargeable and planned based on the complexity of the expansion

Benefits of Scope Expansion

- Aligns certification with growing business needs.
- Enhances credibility with customers for new services/products.
- Maintains integrated certification across multiple sites and activities.
- Supports compliance with evolving market and regulatory demands.

