



SNS Certification

Standards and Systems Certification

NC Closure by Client

Client Corrective Action and NC Closure Requirements

Document Number	SNS-QP-04
Document Type	Procedure / Client Guidance
Issue / Revision	01 / 00
Effective Date	24.05.2026
Owner	Audit Team / Technical Management
Website	https://www.sns-cert.com
Contact	info@sns-cert.com

Public copy notice: This document is issued for client and public information through SNS Certification resources. Printed or downloaded copies are uncontrolled unless separately confirmed by SNS Certification.

Document Contents

Clause	Content
1.0	Purpose
2.0	Scope
3.0	Definitions
4.0	Client Responsibilities
5.0	NC Closure Process
6.0	Correction, Root Cause and Corrective Action
7.0	Evidence Requirements
8.0	Verification by SNS Certification
9.0	Timeframes
10.0	Records



Amendment / Revision Record

Clause / Page	Revision Details	Reason	Issue	Rev.	Date
All	First SNS public resource issue prepared in SNS template.	Initial release	01	00	24.05.2026

Review and update: SNS Certification reviews public resource documents periodically or when certification requirements, service scope, process ownership, legal obligations, or accreditation/scheme requirements change.



1.0 Purpose

This procedure guides clients on how to respond to nonconformities raised during SNS Certification audit activities. It explains the expected corrective action process so that nonconformities are corrected, root causes are addressed, recurrence is prevented and closure evidence is provided for review.

2.0 Scope

This procedure applies to nonconformities raised during document review, Stage 1 audit, Stage 2 audit, surveillance audit, recertification audit, transfer review, special audit, complaint investigation, mark-use review or any other certification activity where a client response is required.

3.0 Definitions

Term	Meaning
Nonconformity / NC	Failure to meet a requirement of the certification criteria, client management system, legal obligation or certification rules.
Correction	Immediate action taken to eliminate a detected nonconformity or control its direct effect.
Containment	Short-term action to prevent the issue from spreading or affecting customers, products, services or compliance while root cause is investigated.
Root cause	Underlying reason why the nonconformity occurred and was not prevented or detected earlier.
Corrective action	Action taken to eliminate the cause of a nonconformity and prevent recurrence.
CAR	Corrective Action Request issued by SNS Certification to control client response and closure verification.

4.0 Client Responsibilities

- Review the nonconformity statement and request clarification promptly if the requirement or evidence is not understood.
- Assign a responsible process owner to coordinate containment, correction, root cause analysis and corrective action.
- Submit response and evidence within the stated timeframe.
- Ensure actions address root cause, not only the symptom.
- Update procedures, records, training, risk controls or monitoring methods where needed.
- Verify effectiveness internally before submitting closure evidence to SNS Certification.
- Maintain records of investigation, actions taken, evidence and effectiveness review.

5.0 NC Closure Process

1. SNS Certification raises the nonconformity and issues a CAR or equivalent finding record to the client.
2. The client defines the problem, affected process, applicable requirement and immediate containment need.
3. The client performs root cause analysis using an appropriate method such as 5-Why, cause-and-effect analysis, process review or evidence-based investigation.
4. The client determines correction and corrective action with responsible owner and target completion date.
5. The client implements the action and gathers supporting evidence.
6. The client reviews whether the implemented action is effective and whether similar risks exist in other departments, sites, processes or records.
7. The client submits CAR response and objective evidence to SNS Certification.
8. SNS Certification reviews the response and decides whether the NC can be accepted, requires additional evidence, requires remote verification, or requires on-site follow-up.
9. SNS Certification communicates acceptance or non-acceptance of the closure response and maintains the record.

6.0 Correction, Root Cause and Corrective Action

A complete response should distinguish between immediate correction, root cause and corrective action. Correction fixes the detected issue; root cause explains why the issue occurred; corrective action changes the system so that the same or similar issue is less likely to recur. Where appropriate, clients should also consider escape cause, meaning why the issue was not detected by existing monitoring, inspection, internal audit or management controls.



7.0 Evidence Requirements

- Updated procedure, work instruction, checklist, form or control plan where process documents changed.
- Training or communication records where personnel awareness or competence was part of the cause.
- Completed records, photographs, system screenshots, calibration/test evidence, inspection records or transaction evidence showing correction.
- Internal audit, monitoring, sample check or management review evidence showing effectiveness.
- Risk assessment, legal compliance check, supplier control record or customer communication where relevant.
- Evidence of horizontal deployment when similar risk may exist in other sites, departments or processes.

8.0 Verification by SNS Certification

SNS Certification verifies closure based on the grade and risk of the nonconformity. Verification may be completed by document review, remote discussion, additional evidence request, limited verification audit, full follow-up audit, or confirmation during the next scheduled audit. SNS Certification will inform the client of the verification method required for effective correction and corrective action.

9.0 Timeframes

Finding type / situation	Expected response or closure control
Minor nonconformity	Correction, root cause, corrective action plan and evidence normally submitted within 30 calendar days unless otherwise stated.
Major nonconformity	Closure normally targeted within 90 calendar days and may require follow-up audit or stronger verification evidence.
Recertification with open major NC	Correction and corrective action must be implemented and verified before certificate expiry.
Insufficient response	SNS Certification requests clarification or additional evidence; certificate recommendation may be delayed.
Repeated or unclosed NC	May lead to suspension, withdrawal, reduction of scope or refusal of certification decision according to SNS Certification rules.

10.0 Records

SNS Certification maintains NC closure records, CAR responses, verification evidence, acceptance/non-acceptance communication and audit package review records. Clients are expected to retain their own corrective action records as part of the certified management system.

Document Approval

Prepared by	Reviewed by	Approved by	Effective date
SNS Certification Management	Technical / Process Owner	Authorized Management	24.05.2026

End of document