

# TUV UNITED -1 CERTIFICATION PROCEDURE

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This procedure describes the process of certification in all its phases (from the application to certificate issuing). This procedure cannot be amended without previous approval Quality Manager or Director. This is the version is amended by: the Quality manager, approved by: Director.

**SUBJECT AND AIM**

## **CERTIFICATION PROCEDURE**

The subject of this procedure is to describe the process requirements and action in all phases:

from the pre-certification activities – Application, Application review, audit program, determining audit time, multi-site sampling where applicable, multiply management system standards when applicable, planning audit(s), audit team selection and assignments, observers, technical experts and guides, audit plan preparing and communication, initial certification audit (Stage1 and Stage2), Initial certification audit conclusions, conducting audits/Trainings , identifying and recording audit findings, audit report, information for granting initial certification, information for granting re-certification, maintaining certification, surveillance activities, recertification, special audits.

The aim is to describe the phases as steps for proper realization of all activities related to the application, conformity audit and decision-making and to determine the responsibility and authority TUV UNITED employees and external collaborators at each any phase separately.

### **THE SCOPE**

The whole system TUV UNITED for ISO 17021 , ISO 22003, **ISO 50003 , ISO 20000-6 and ISO 27006** (QMS ISO 9001, EMS ISO 14001, ISO 22000, OH&S ISO 45001, ISO 29993, **ISO 50001, ISO 21001 ,ISO27001**) current version.

### **RESPONSIBILITIES**

All employees and external collaborators who have a contract with TUV UNITED individual or as a member of the Committee.

The specific responsibilities mentioned specifically in each phase.

## **1. Pre-certification activities**

### **1.1 Application phase**

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When any employee of TUV UNITED/ commercial offices is contacted by an interested client for conformity audit of 9.2, the commercial responsible should contact the applicant and sends the Application form **F-1 /TUV UNITED - 1** or indicate that the form can be downloaded on the website, after receiving the application filled in by the applicant including all required information also confirming it by the signature and submits it by e-mail to the Admin.

Applicant organization has to provide to TUV UNITED the necessary information to enable it to establish the following:

- the desired scope of the certification;
- relevant details of the applicant organization as required by the specific certification scheme, including its name and the address(es) of its site(s), its processes and operations, human and technical resources, functions, relationships and any relevant legal obligations;
- identification of outsourced processes used by the organization that will affect conformity to requirements;
- the standards or other requirements for which the applicant organization is seeking certification;
- whether consultancy relating to the management system to be certified has been provided and, if so, by whom.
- **Determination of the EnMS effective personnel**
- **Determination of energy types**
- **Determination of EnMS complexity**
- **If multisites as determined in 50003**
- **the information concerning products and processes relevant to determination of the audit duration, as per Annexes A and B as per ISO 22003-1:2022**

**For information security TUV UNITED requires the client to have a documented and implemented ISMS which conforms to ISO/IC 27001 and other documents required for certification.**

Administrator of TUV UNITED reviews the information in the application form and if necessary he/she can re contact the applicant to complete / adjust the information to be clear for the application reviewer. After that the administrator of TUV UNITED sends/ Saves on the share folder fulfilled application form submitted by the applicant to the Scheme Manager for a particular certification scheme for which the applicant applied. The duration time starting from accept the application to send the audit plan to the client does not exceed 60 days.

If the deadline is passed, a clear justification is needed, and it is up to the scheme manager to accept the application or asks for sending a new application or re-open the application by a new re opening date.

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### 1.2 Application form reviewing phase

The Administrator proceed with the application and notify the scheme manager to review the application.

The assigned scheme manager for the relevant certification scheme reviews the application and verifies all data and the information about the applicant organization and its management system is sufficient to develop an audit program; any known difference in understanding between TUV UNITED and the applicant organization is resolved; the TUV UNITED has the competence and ability to perform the certification activity; the scope of certification sought, the site(s) of the applicant organization's operations, time required to complete audits and any other points influencing the certification activity are taken into account (language, safety conditions, threats to impartiality, Risk, Complexity, etc.)

**For ISO 20000-1 TUV UNITED review the application from the client to ensure a clear understanding of the areas of activity of the client and the likely risks to the SMS and the services.**

**For ISO 22000 FSMS TUV UNITED use Annex A to define the relevant scope for the organization applying for certification. The scope statement shall:**

- **identify the category(s) or subcategory(s) in scope of certification for each site or sites;**
- **briefly describe the main types of activities/processes for the products and/or services that are audited by the certifying body.**

**The defined scope of certification shall not:**

- **be misleading;**
- **exclude activities, processes, products or services from the scope of certification when those activities, processes, products or services can have an influence on the food safety of the end products as defined by the legal responsibility of the organisations' activities;**
- **include any promotional statements, brands or claims.**

On the occasion that the application arrives from an already certified client by other CB, who is willing to proceed with his surveillance with TUV UNITED, the administrator should make sure that he revised the following:

1. The status of his certificate (didn't pass twelve months), If not an adequate justification is requested from the client, and it's up to TUV UNITED Director to accept/ Deny the justification.
2. No Sanctions were raised by the previous certification body ( by checking the website), if it was not possible, the admin will communicate the previous CB by email, if there were no answer in 7 calendar days the admin will proceed immediately with acceptance of the application.
3. The Report of the previous Certification body. In case missing the previous report, one day will be added for the calculation man days.

**\*\* All evidence should be kept in the client file whenever requested by the accreditation body.**

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When TUV UNITED declines an application for certification as a result of the review of application, the reasons for declining an application shall be documented and made clear to the client that TUV UNITED is unable to perform this audit, it's up to TUV UNITED to conduct this audit and issue non- accredited certificate if the plan of TUV UNITED to extend its scope.

The certification Scheme manager shall be expecting the following mandatory issues with the application:

1. Commercial record... mandatory
2. EMS: Environment aspects, Environment measures and Hazard materials
3. ISO 45001:2018 Relevant Risk assessment
4. FSMS: HACCP
5. Master documents list for ISO 50001 and 21001
6. Stamped certification agreement if possible

It's up to the scheme manager to accept not receiving such documents under very strict clarification from the client ( eg. The company has a policy not to send documents)

### 1.3 Contracting phase (system certification)

When the application is accepted, to the applicant is sent a certification contract

F-2/TUV UNITED-1 with Information about the process of audit, certification, which contains Information describing the process of audit, certification process and on the status of certification which are an integral part of the contract. Once the applicant signs the certification agreement, and confirm with it that agrees with the terms, official prices for the services of certification, and certification conditions, which is for a period of 3 years (except that of certified-clients validity of the contract expires on the day of expiry of the certificate - Article 3.1 of the certification contract), the applicant obtains the client status.

Once the client follows the payment according to the invoice sent (which is based on the payment terms), (scheme manger issue job order}

Once the job order is issued sent to the administrator to start operation,

(The client file is created as fiiow contain first name of client followed by TUV UNITED and ordinal number of client

For example

AZZ/TUV UNITED-1)

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### 2. Audit preparation phase

#### 2.1 Audit program

The audit program for the initial certification includes a two-stage initial audit, surveillance audits in the first and second years following **the certification decision**, and a recertification audit in the third year prior to expiration of certification. The first three-year certification cycle begins with the **certification decision**. Subsequent cycles begin with the recertification decision.

Where TUV UNITED is taking account of certification already granted to the client and to audits performed by another certification body, it shall obtain and retain sufficient evidence, such as reports and documentation on corrective actions, to any nonconformity. TUV UNITED will, based on the information obtained, justify and record any adjustments to the existing audit program and follow up the implementation of corrective actions concerning previous nonconformities.

Where the client operates shifts, the activities that take place during shift working shall be considered when developing the audit program and audit plans.

**For FSMS TUV UNITED have a process for choosing the audit timing and season, so that the audit team has the opportunity of auditing the organization operating on a representative number of product lines and/or services covered by the scope of certification.**

**For ISMS as per ISO 27006,**

**The audit program for ISMS audit shall take the information security controls into account.**

**In information security audit methodology TUV UNITED does not presuppose a particular manner of implementation of an ISMS or a particular format of documentation and records and focus on establishing that a client's ISMS meets the requirements specified in ISO/IEC 27001 and the policies and objectives of the client.**

#### **General preparations for the initial audit**

**TUV UNITED require that a client makes all necessary arrangements for the access to internal audit reports and reports of independent reviews of information security.**

**At least the following information shall be provided by the client during stage 1 of the certification audit:**

- **general information concerning the ISMS and the activities it covers;**

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- a copy of the required ISMS documentation specified in ISO/IEC 27001 and, where required, associated documentation.

### **Review periods**

TUV UNITED shall not certify an ISMS unless it has been operated through at least one management review and one internal ISMS audit covering the scope of certification.

### **Scope of certification**

The audit team shall audit the ISMS of the client covered by the defined scope against all applicable certification requirements. TUV UNITED confirm, in the scope of the client ISMS, that clients address the requirements stated in ISO/IC 27001, 4.3.

Certification bodies shall ensure that the client's information security risk assessment and risk treatment properly reflects its activities and extends to the boundaries of its activities as defined in the scope of certification. Certification bodies shall confirm that this is reflected in the client's scope of their ISMS and Statement of Applicability. The certification body shall verify that there is at least one Statement of Applicability per scope of certification.

Certification bodies shall ensure that interfaces with services or activities that are not completely within the scope of the ISMS are addressed within the ISMS subject to certification and are included in the client's information security risk assessment. An example of such a situation is the sharing of facilities (e.g. IT systems, databases and telecommunication systems or the outsourcing of a business function) with other organizations.

### **Certification audit criteria**

The criteria against which the ISMS of a client is audited shall be the ISMS standard ISO/IC 27001. Other documents may be required for certification relevant to the function performed.

## **2.2 Determining Audit Time**

The certification Scheme Manager takes in his consideration while determines the audit time as per ISO 22003, IAF MD 5: 2019, ISO 50003, ISO 27006, ISO20000-6 (**Latest versions**).

Consideration is not limited to:

- The requirement of the relevant standard
- Complexity of the client and its management system
- Risk Factor of the operation

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- Technological and regulatory context
- Any outsourcing
- The results of any prior audit
- Size and number of client sites and their geographical location and multi-sites consecrations
- The risk associated with the products and process of the client
- Whether audits are combined, joined or integrated
- Time spent travelling
- Calculation of minimum surveillance and recertification audit time
- Un applicable clauses

The references for the calculation audit time are:

**Annex A and B ISO 22003-1:2022 for the food audit**

**(ISO 22003-1:2022) - 9.1.4.3 In determining and documenting audit time needed, TUV UNITED determine:**

- a) the time for audit preparation;
- b) the minimum duration for auditing for each site for on-site or remote auditing, as specified in Clauses B.1, B.2 and B.3 and Table B.1;
- c) the time for reporting and, if applicable, conducting post-audit activities;
- d) where additional meetings are necessary (e.g. review meetings, coordination, audit team briefing), an increase in audit time can be required;

**Where applicable and agreed, the time needed to ensure effective remote auditing or use of information and communication technology (ICT).**

IAF Mandatory Document IAF MD 5: 2019 **Current Issue**

Annex A (**Table 1- 2**) for QMS IAF Mandatory Document IAF MD 5: 2019 **Current Issue**

Annex B for EMS1 IAF Mandatory Document IAF MD 5: 2019: **Current Issue**

Annex C for OH&S ISO 45 IAF Mandatory Document IAF MD 5: 2019 **Current Issue**

**For EnMS TUV UNITED determine the audit time based on a combination of the number of EnMS effective personnel and the level of EnMS complexity. The audit time for the initial certification (Stage 1 and Stage 2) is shown in Table A.3.**

**The audit time for the surveillance and recertification audits are shown in Table A.4 The calculation method is describe in Annex A Annex D for an example of minimum audit day calculation for an initial certification.**

**For ISO 27001 TUV UNITED used Annex B determine audit time as per ISO 27006**

Amended by : Quality Manager

Approved: Director



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For ISO 20001 as per ISO 20000-6 use TUV UNITED use Table 1 when determining audit time. Table 1 is based on 8-hour days.

Tables 2 and 3 show how relevant factors can affect the audit times in Table 1. The acceptable and unacceptable use of remote audits is specified in Table 4.

Certification bodies shall allow auditors sufficient time to undertake all activities relating to an initial audit, surveillance audit or re-certification audit. The calculation of overall audit time shall include sufficient time for audit reporting.

### 2.3 Multi-site sampling

Referring to IAF MD 1- MD 22 Current Issue and where multi-site sampling is used for the audit of a client's management system covering the same activity in various geographical locations, TUV UNITED will develop a sampling program to ensure proper audit of the management system. The rationale for the sampling plan shall be documented for each client. Sampling is not allowed for some specific certification schemes, and where specific criteria have been established for a specific certification scheme, e.g. ISO 22003-1:2022, these will be applied, For FSMS.

ISO 50001 as per ISO 50003 use Annex B provides specific requirements including those for the determination of audit time and sampling of multi-site organizations .

For ISMS as per ISO 27006:2015

For ISO 20001 as per ISO 20000-6:2017

In case the multiple facility doesn't operate the same activities, the sampling procedure is not appropriate. (MD 1- MD 22).

Temporally sites should be subject of the sample.

### 2.4 Integrated management systems standards

When certification to Integrated management systems is being provided by TUV UNITED, the determines the audit time and program referring to IAF Mandatory Document IAF MD 11:2013 Current version – ANNEX 1 Reduction of Audit time maybe applied, and IAF MD 5: 2019. The total reduction at the end should not exceed 30% of audit time calculated including.

For information security audit TUV UNITED may accept documentation that is combined (e.g. for information security, quality, health and safety and environment) as long as the ISMS can be clearly identified together with the appropriate interfaces to the other systems.

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The ISMS audit may be combined with audits of other management systems, provided that it can be demonstrated that the audit satisfies all requirements for certification of the ISMS. All the elements important to an ISMS shall appear clearly and be readily identifiable in the audit reports. The quality of the audit shall not be adversely affected by the combination of the audits.

An SMS audit can be combined with audits of other management systems. A combined or integrated audit shall ensure that the audit evidence fulfils the requirements specified in ISO/IEC 20000-1 within the scope of the audit. All findings relating to ISO/IEC 20000-1 shall be easily identifiable in audit reports. The integrity of the ISO/IEC 20000-1 audit shall not be adversely affected by the combination of audits.

**Combining management system audits for ISO/IEC 20000-1 and ISO/IEC 27001**

Where an audit is combined for ISO/IEC 27001 and ISO/IEC 20000-1, the information security management process in ISO/IEC 20000-1 shall be audited to ensure that:

- a) the information security policy is relevant to the SMS and the services;
- b) relevant information security risks are identified and information security controls are implemented to support the SMS and the services.

The auditor may find some supporting evidence from the information security management system (ISMS).

If the scope of the ISMS is outside of the scope of the SMS, then the information security management process in ISO/IEC 20000-1 shall be audited as a standalone process without the support of the ISMS.

The information security policy, risks and controls shall be audited to ensure that they are appropriate for the services within the scope of the client's SMS.

### **3. Planning audits**

#### **3.1 Determining audit objectives, scope and criteria**

Audit objectives, scope and criteria are determined by TUV UNITED. The audit scope and criteria, including any changes, shall be established by TUV UNITED Auditor after discussion with the client and sends to the client with the audit plan by email

**For ISO 2000-1** The audit objectives include checking that interfaces at the boundaries of the SMS with other parties participating in the activities of the SMS, are identified and controlled.

TUV UNITED also ensure that the client is aware of and managing any risks to the SMS and the services arising from the interfaces.

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**For ISO 27001** The audit objectives shall include the determination of the effectiveness of the management system to ensure that the client, based on the risk assessment, has implemented applicable controls and achieved the established information security objectives.

**IAF MD 22 - G 9.2.1.2 b** For the determination of the ability of the management system to ensure the client meets applicable statutory, regulatory and contractual requirements, the approach described in Appendix A shall be applied.

**IAF MD 22 - G.9.2.1.3**

The OH&SMS shall include activities, products and services within the organization's control or influence that can impact the organization's OH&SMS performance.

Temporary sites, for example, construction sites, shall be covered by the OH&SMS of the organization that has control of these sites, irrespective of where they are located.

**For ISO 27001 as per ISO 27006**

**For ISO 22000 as per ISO 22003-1:2022**

### 3.2 Audit team selection and assignments

#### 3.2.1 General

TUV UNITED Scheme Manager has a process for selecting and appointing the audit team, including the audit team leader and technical experts if necessary, taking into account the competence needed to achieve the objectives of the audit and requirements for impartiality. If there is only one auditor, the auditor will have the competence to perform the duties of an audit team leader applicable for that audit. The audit team shall have the totality of the competences identified by TUV UNITED for the audit, as a minimum the audit team leader shall be competent in the scope, IAF code of the client subject to the audit, for the audit team, it's enough to be competent in the standard subject of the audit.

Composition of audit team and knowledge and skills are described in 17021-1, 2,3,10

For ISMS The audit team shall be formally appointed and provided with the appropriate working documents. The mandate given to the audit team shall be clearly defined and made known to the client.

When selecting and managing the audit team to be appointed for a specific certification audit the certification body shall ensure that the competences brought to each assignment are appropriate.

The team shall:

a) have appropriate technical knowledge of the specific activities within the scope of the ISMS for which certification is sought and, where relevant, with associated procedures and their potential information security risks (technical experts may fulfil this function);

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b) have understanding of the client sufficient to conduct a reliable certification audit of its ISMS given the ISMS' scope and context within the organization in managing the information security aspects of its activities, products and services;

c) have appropriate understanding of the legal and regulatory requirements applicable to the client's ISMS.

**For ISO 27001 as per ISO 27006**

### **3.3 Observers, technical experts and guides**

The role of observers, technical experts and guides are described in 17021-1

The scheme Manager issues the Job order and notify the audit team for the audit including in his email the reviewed application which included the audit cycle ( program) and any other relevant parties who may attend the audit ( observers/ technical expert(s))

## **4. Audit plan**

### **4.1 General**

TUV UNITED ensures that an audit plan is established prior to each audit identified in the audit program to provide the basis for agreement regarding the conduct and scheduling of the audit activities.

the audit plan for ISMS audits shall take the determined information security controls into account.

The audit plan shall identify the network-assisted auditing techniques that will be utilized during audit, as appropriate.

### **ISO/IEC 20000-6 - 9.2.3.1 SM9.2.3.1 Sampling accuracy**

TUV UNITED ensures the following:

a) an adequate level of sampling shall be determined at initial contract review, and subsequent audit activities, identifying differences between the following:

- 1) locations, e.g. site sizes or use of temporary sites which are covered by the SMS but are not in the scope of certification;
- 2) services;
- 3) customers;
- 4) other parties (internal groups, suppliers, customers acting as a supplier) involved in the provision of services;
- 5) languages;
- 6) consistency of approach across all shifts. A client with a high proportion of personnel working in shifts can be audited in less time if each shift operates in the same way. This involves a review of records to confirm the consistency of approach across all shifts. If shifts are consistent, all shifts can be treated as one set of activities and one shift can be used as the sample for audit;
- 7) local variations of the SMS;

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- 8) legal and regulatory requirements;
- b) a representative sample shall be selected from the scope of the client's SMS. The selection shall be based upon the judgement of the certification body, reflecting the factors presented in a), as well as a random element;
- c) the design of the audit plan shall take into consideration the requirements in a) and b). The plan shall cover representative samples of the full scope of the SMS within the three-year period between certification audits.

### Procedure

#### 1. Initial Contract Review and Subsequent Audit Activities

1.1 During the initial contract review, determine the adequate level of sampling by considering the following factors:

- **Locations:** Evaluate site sizes and temporary sites within the scope of the SMS but not included in the certification.
- **Services:** Identify all services within the scope of the SMS to ensure coverage.
- **Customers:** Assess diversity of customer types and ensure a representative sample of their services is included.
- **Other Parties:** Include internal groups, suppliers, and customers acting as suppliers in the sampling plan.
- **Languages:** Account for any differences in processes due to language variations.
- **Shift Consistency:** If the client has multiple shifts, verify whether the operations are consistent. If consistent, one shift can be sampled; if not, sample multiple shifts.
- **Local Variations:** Consider any local adaptations of the SMS across different locations.
- **Legal and Regulatory Requirements:** Identify and include any legal or regulatory compliance requirements in the sampling plan.

1.2 The above factors should be reviewed and updated at the start of each audit, ensuring that changes to the SMS or organizational structure are considered.

#### 2. Selection of a Representative Sample

2.1 auditor will select a representative sample from the scope of the client's SMS, ensuring that the following conditions are met:

- **Judgment:** Based on an understanding of the client's operations, select areas that are critical or high-risk.
- **Random Element:** Randomly select samples to ensure impartiality and avoid bias in the audit process. 2.2 Consider the size of each selected sample to ensure it is sufficient to provide a comprehensive evaluation of the SMS.

#### 3. Design of the Audit Plan

3.1 The audit plan shall be designed to reflect the following:

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- **Sampling Criteria:** Incorporate the factors identified in section 1 into the audit plan.
- **Audit Timeline:** Plan the audit schedule to ensure all representative samples are covered within the three-year certification cycle.
- **Scope Coverage:** Ensure the plan covers all relevant sites, services, customer types, shifts, legal compliance, and other factors.

### 3.2 Ensure that the audit plan includes the following:

- Specific audits of each area based on the representative sample.
- Follow-up audits to assess the implementation of corrective actions and continuous improvement.

## 4. Conducting the Audit

### 4.1 Auditors shall perform the audit based on the sampling plan, ensuring that they:

- Review records, processes, and services to ensure alignment with the SMS.
- Evaluate shift consistency by reviewing records, if applicable.
- Ensure compliance with legal, regulatory, and contractual requirements.
- Ensure local variations and service offerings are effectively managed and compliant with the SMS.

### 4.2 If inconsistencies or non-conformities are found in the selected sample, auditors must document findings and recommend corrective actions.

## 5. Review and Update the Sampling Plan

### 5.1 After each audit, review the sampling process:

Verify if the sample adequately represented the SMS scope.

### 4.2 Preparing the audit plan

After the certification scheme manager being appointed in the application form the lead auditor/audit team, the scheme Manager creates the Job order and notify the administrator with the reviewed application form **F-1 / TUV UNITED -1** to do the audit booking then the admin notifies the Lead auditor to do the audit plan.

**\*\* Audit plans are sent to the client and saved in the client information**

The Lead auditor prepares the Audit Plan **F -4/ TUV UNITED -1** Stage 1 and Stage 2 with the proposal of the dates for both audits and sends it to the client and to TUV UNITED office at least 2 days prior to the proposed date of audit by **email,whats up or by hand** with the provision that the audit plan for Stage 2 will only be applied if the lead auditor has accepted the results from Stage 1 audit, otherwise

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a new audit plan will be sent to the client after CA is delivered and evidence of non-conformance removal detected in Stage 1, a minimum of 2 days before the stage 2 audit,

The client has the right to accept or reject the audit plan, date of audit or auditors which are in the audit team and/or technical experts and/or observers, giving the reason for rejecting. If there is no any rejection from the client it will be considered as approval for the audit plan and then the lead auditor/audit team approaches to preparation for the audit according to the data available. If necessary, the lead auditor may request that client via email sends part of the documentation.

A certification body should agree with the organization to be audited the timing of the audit which will best demonstrate the full scope of the organization. The consideration could include season, month, day/dates and shift as appropriate.

**For ISO27001 as per 27006**

**For ISO 20001 as per 20000-6**

### **4.3 Communication of audit team tasks**

As mentioned on 17021-1

### **4.4 Communication concerning audit team members**

Described in this document

## **5. Initial certification audit**

### **5.1 General**

The initial certification audit of a management system shall be conducted in two stages: stage 1 and stage 2.

**TUV UNITED has the right to access to evidence of the identification of other parties involved in the provision of services for the client and how they are controlled as specified in ISO/IEC 20000-1.**

**The certification body shall take into account that the client can integrate the documentation for the SMS with that for other management systems, e.g. a quality management system or information security management system.**

**If the documentation for multiple management systems is combined, the client's SMS shall be clearly identified.**

### **5.2 Stage 1**

In this section, audit team make audit documentation and performs a visit to the client's production capacity / ies.

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Stage 1 shall include the following:

- a) a review of documented information on the scope and boundary(ies);
- b) a confirmation of the scope and boundary(ies) of the EnMS for certification;
- c) a confirmation of the number of EnMS effective personnel, energy types, SEUs and annual energy consumption, in order to review and confirm the audit time;
- d) a review of the documented information from the EnMS planning process;
- e) a review to confirm that EnPI(s) and corresponding EnB(s) are used by the client organization to determine energy performance;
- f) a review of documented information regarding determined and prioritized energy performance improvement opportunities as well as the objectives, energy targets and action plans.

This stage is mainly carried out at the premises of the client and begins with an opening meeting.

The objectives of Stage 1 audit are described in the audit report

In this stage of the audit the certification body shall obtain documentation on the design of the ISMS covering the documentation required in ISO/IEC 27001.

The certification body shall obtain a sufficient understanding of the design of the ISMS in the context of the client's organization, risk assessment and treatment (including the controls determined), information security policy and objectives and, in particular, of the client's preparedness for the audit.

This allows planning for stage 2.

The results of stage 1 shall be documented in a written report. The certification body shall review the stage 1 audit report before deciding on proceeding with stage 2 and shall confirm if the stage 2 audit team members have the necessary competence; this may be done by the auditor leading the team that conducted the stage 1 audit if deemed competent and appropriate.

The certification body shall make the client aware of the further types of information and records that may be required for detailed examination during stage 2.

Based on the outputs of Stage 1, the certification body shall confirm the competence needed for Stage

All observations during the Stage 1 audit, the auditor documents in the Report of conformity audit NC and CA plan Stage 1, including the place where in the Stage 2 audit may arise conflicts.

### 5.3 Stage 2

The purpose of the Stage 2 audit is to audit the level of implementation of standards, including the effectiveness of the client's management system. The stage 2 shall take place at the site(s) of the client. During Stage 2 audits, the audit team shall review the necessary audit evidence to determine whether or not continual energy performance improvement has been demonstrated prior to making a recommendation.

TUV UNITED analyse the necessary audit evidence to determine whether or



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not continual energy performance improvement has been demonstrated prior to making a certification decision. Confirmation of continual energy performance improvement shall be required for granting the initial certification.

On the basis of findings documented in the stage 1 audit report, the certification body develops an audit plan for the conduct of stage 2. In addition to evaluating the effective implementation of the ISMS, the objectives of stage 2 are:

a) to confirm that the client adheres to its own policies, objectives and procedures.

To do this, the audit shall focus on the client's:

a) top management leadership and commitment to information security policy and the information security objectives;

b) documentation requirements listed in ISO/IEC 27001;

c) assessment of information security related risks and that the assessments produce consistent, valid and comparable results if repeated;

d) determination of control objectives and controls based on the information security risk assessment and risk treatment processes;

e) information security performance and the effectiveness of the ISMS, evaluating against the information security objectives;

correspondence between the determined controls, the Statement of Applicability and the results of the information security risk assessment and risk treatment process and the information security policy and objectives;

g) implementation of controls (see Annex D), taking into account the external and internal context and related risks, the organization's monitoring, measurement and analysis of information security processes and controls, to determine whether controls are implemented and effective and meet their stated information security objectives;

h) programmes, processes, procedures, records, internal audits and reviews of the ISMS effectiveness to ensure that these are traceable to top management decisions and the information security policy and objectives.

The objectives of Stage 2 audit are described in the audit report

Elements to be covered by the Stage 2 audit are described in: The audit report

**For ISO 50001 as per ISO 50003**

**For ISO 20001 as per ISO 20000-6**

**For ISO 27001 as per ISO 27006**

### 5.4 Initial certification audit conclusions

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Before the final meeting, audit team organize a meeting in which perform the analysis of objective evidences and gathering all the information, including observations from compliant or not.

The audit team shall analyses all information and audit evidence gathered during stage 1 and stage 2 to review the audit findings and agree on the audit conclusions.

If there is a non-conformity, Lead auditor raises non-conformity and introduces it in the prescribed form in the audit report NC and CA plan Stage 2.

At the final meeting, Lead auditor, immediately on site informs the client about audit results.

In the case of nonconformities, Lead auditor shall submit to client the form for nonconformity and agree the way for evidences sending and the deadline for the removal of nonconformities, not to exceed 14 Days and can be exceeded to 21 days in some particular cases for the minor and 6 months for the major (submission,, review and confirmation by email).

### 6. Conducting audits

#### 6.1 General

TUV UNITED has a process for conducting on-site audits. This process includes an opening meeting at the start of the audit and a closing meeting at the conclusion of the audit.

Regarding ISO 45001:2018 audit the audit team is obliged to interview:

1. The Management with legal responsibility of occupational health and safety
2. Employees representative
3. Person in charge of monitoring Employees health eg: Doctor available
4. Managers, permanent and temp. employees
5. Managers and employees performing activities to prevention of OHSAS
6. Contractor Management and/ or Employees

**In addition, energy performance improvement can be demonstrated at the equipment, process, system or facility level.**

**During each audit within the audit programme, the certification body shall confirm the suitability of the EnMS scope and boundary(ies) as defined by the client.**

**For ISO 27001 as per ISO 27006**

#### 6.2 Opening meeting

Elements of opening meeting are described in audit report and 17021-1

#### 6.3 Communication during the audit

During the audit, the audit team will periodically assess audit progress and exchange information. The audit team leader will reassign work as needed between the audit team members and periodically communicate the progress of the audit and any concerns to the client.

## CERTIFICATION PROCEDURE

Where the available audit evidence indicates that the audit objectives are unattainable or suggests the presence of an immediate and significant risk (e.g. safety), the audit team leader will report this to the client and, if possible, to TUV UNITED to determine appropriate action. Such action may include reconfirmation or modification of the audit plan, changes to the audit objectives or audit scope, or termination of the audit. The audit team leader will report the outcome of the action taken to TUV UNITED.

The audit team leader will review with the client any need for changes to the audit scope which becomes apparent as on-site auditing activities progress and report this to TUV UNITED.

### 6.4 Obtaining and verifying information

During the audit, information relevant to the audit objectives, scope and criteria (including information relating to interfaces between functions, activities and processes) will be obtained by appropriate sampling and verified to become audit evidence.

**Methods to obtain information shall include, but are not limited to:**

- a) interviews;

**For OH&SMS shall apply the requirement that described in clause G 9.4.4.2 of IAF MD 22.**

- b) observation of processes and activities;  
review of documentation and records.

### 6.5 Identifying and recording audit findings

Identifying and recording audit findings are described in the audit reports and **ISO 17021-1**

**According to MD 22 in the event that TUV UNITED discovers a non-compliance with relevant regulatory requirements this immediately communicated to the organization being audited. Information on incidents such as a serious accident, or a serious breach of regulation necessitating the involvement of the competent regulatory authority, provided by the certified client or directly gathered by the audit team during the special audit, provide grounds for TUV UNITED to decide on the actions to be taken, including a suspension or withdrawal of the certification, in cases where it can be demonstrated that the system seriously failed to meet the OH&S certification requirements.**

### 6.6 Preparing audit conclusions

Preparing audit conclusion process is described in **17021-1**

### 6.7 Closing meeting

Elements of closing meeting are described in the audit reports and **ISO 17021-1**

## CERTIFICATION PROCEDURE

**The organization representative shall be requested to invite the management legally responsible for occupational health and safety, personnel responsible for monitoring employees' health and the employees' representative(s) with responsibility for occupational health and safety to attend the closing meeting. Justification in case of absence shall be recorded.**

### 7. Reporting phase

#### 7.1 Audit report

Lead auditor writes a final audit report on the completed audit of conformity of quality, Environmental, OHSAS management systems and food safety, which is established and maintained by the client. The audit team leader is responsible for its content. TUV UNITED will provide a written report for each audit to the client.

When there is a need for sending of evidences about the removal of nonconformity, than the Lead auditor, within the agreed timeframe, gathers evidences about and gives comment about the nonconformity is or is not closed, in the appropriate form for nonconformity.

Within the maximum period of 14 days the lead auditor shall send the audit report to the TUV UNITED administrator for Documentary technical review, and the administrator reviews the report and verifies data from the application, audit plan and report. If there is a discrepancies in the data, the Administrator shall instruct the lead auditor by e-mail and ask for an explanation for the resulting error and / or amend and confirm the accuracy of the data. Lead auditor is obliged to submit to the administrator all the required clarifications / corrections data.

After the report was passed technical inspection, the administrator no later than 7 days, submit it to the decision maker as the following:

1. Full audit report
2. Application form **F- 1 / TUV UNITED -1**
3. Audit plan **F- 4 / TUV UNITED -1** Stage 1 Stage 2
4. Where applicable comment on nonconformity, correction and corrective action taken by the client, and evidences to prove the removal of nonconformities
5. And recommendations for certification or non-certification within the audit report

The audit report shall provide an accurate, concise and clear record of the audit to enable an informed certification decision to be made and shall include or refer to the following:

- a) Identification of TUV UNITED;
- b) The name and address of the client and the client's representative;
- c) The type of audit (e.g. initial, surveillance or recertification audit or special audits); d) the audit criteria; e) the audit objectives;

#### CERTIFICATION PROCEDURE

- d) The audit scope, certified products / particularly identification of the organizational or functional units or processes audited and the time of the audit;
- e) Any deviation from the audit plan and their reasons;
- f) Any significant issues impacting on the audit program;
- g) Identification of the audit team leader, audit team members and any accompanying persons;
- h) The dates and places where the audit activities (on site or offsite, permanent or temporary sites) were conducted;
- i) Audit findings, reference to evidence and conclusions, consistent with the requirements of the type of audit;
- j) Significant changes, if any, that affect the management system of the client / certified products since the last audit took place;
- k) Any unresolved issues, if identified;
- l) Where applicable, whether the audit is combined, joint or integrated;
- m) A disclaimer statement indicating that auditing is based on a sampling process of the available information;
- n) Recommendation from the audit team
- o) The audited client is effectively controlling the use of the certification documents and marks, if applicable;
- p) Verification of effectiveness of taken corrective actions regarding previously identified nonconformities, if applicable.

The report shall also contain:

- a) A statement on the conformity and the effectiveness of the management system together with a summary of the evidence relating to: — the capability of the management system to meet applicable requirements and expected outcomes; — the internal audit and management review process- certified products;
- b) A conclusion on the appropriateness of the certification scope;
- c) Confirmation that the audit objectives have been fulfilled.

TUV UNITED has developed uniform audit report F-5/TUV UNITED-1

All TUV UNITED auditors are obliged to fully complete the audit report accordingly.

**ISO 50003:2021 – EnMS audit report include the following:**

**a) scope and boundaries of the EnMS being audited;**

**b) at certification decisions:**

- **A statement of the achievement of continual improvement of the EnMS with a record of audit evidence to support the statement**
- **A statement of the achievement of continual energy performance improvement with a record of audit evidence to support the statement**

## CERTIFICATION PROCEDURE

- at surveillance audits, a statement confirming that the client organization has demonstrated implementation of actions for energy performance improvement

### ISO/IEC 20000-6 - 9.4.8.1 SM9.4.8.1 Audit report

- The audit report shall be of sufficient detail to support the certification decision. It shall contain the certification scope definition with a reference to any changes in scope and descriptions of significant audit trails followed and audit methodologies used.
- The report shall include the audit team's recommendation on certification of the client's SMS, with information to substantiate this recommendation. The substantiation shall include a summary of non-conformities and opportunities for improvement regarding the implementation and effectiveness of the SMS.

For ISO 27001 as per ISO27006

### 7.2 Cause analysis of nonconformities

Audit report NC and CA plan sheet – cause analysis of NC

### 7.3. Effectiveness of corrections and corrective actions

Verification of effectiveness of corrections and correction actions in Audit report NC and CA plan sheet

## 8. Certification Decision for Certification

### 8.1 Actions prior to making a decision

**The scheme manager of application reviewer assign the competence decision maker from the approved F- 6 TUV UNITED-10LEAD AUDITORS AUDITOR DECISION TAKER list. This decision maker is named in the application form before carry out the audit.**

TUV UNITED has a process to conduct an effective review prior to making a decision for granting certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification, including, that

- a) The information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification;
- b) For any major nonconformities, it has reviewed, accepted and verified the correction and corrective actions;
- c) For any minor nonconformities it has reviewed and accepted the client's plan for correction and corrective action.

## CERTIFICATION PROCEDURE

### 8.2 Information for granting initial certification

The information provided by the audit team to TUV UNITED for the certification decision includes, as a minimum:

- a) The audit report;
- b) Comments on the nonconformities and, where applicable, the correction and corrective actions taken by the client;
- c) Confirmation of the information provided to TUV UNITED used in the application review;
- d) Confirmation that the audit objectives have been achieved;
- e) A recommendation whether or not to grant certification, together with any conditions or observations.

If TUV UNITED is not able to verify the implementation of corrections and corrective actions of any major nonconformity within 6 months after the last day of stage 2, TUV UNITED will conduct another stage 2 prior to recommending certification.

In addition, the certification body shall review the necessary audit evidence to determine whether or not a continual energy performance improvement has been demonstrated prior to making an initial certification decision.

### 8.3 Information for granting re- certification

As per 17021-1 clause 9.5.4

**In addition for EnMS, TUV UNITED review the necessary audit evidence to determine whether or not a continual energy performance improvement has been demonstrated prior to making a recertification decision.**

**Confirmation of continual energy performance improvement shall be required for granting the recertification.**

### 8.4 Decision making process

The decision maker must check and ensure that an auditor who performed an audit or was involved in audit, cannot under any circumstances be the decision maker.

In the maximum period of 7 days, the decision maker must reach a decision on certification or no certification of the client.

If there are dilemmas or needs for more information, shall inform the Lead auditor for an additional information. Lead Auditor can ask an auditor to submit that additional information, The decision maker fills the list in the report, which is intended for the decision, as it fills in the form accordingly, confirms it by its signature and send his decision to the admin. If the decision on certification is positive, the administrator send notification to director with the supporting documents to prepare the certificate. The director has to sign the–certificate. The executive assistance director sends email to the client

## CERTIFICATION PROCEDURE

including certification letter, Roles for logo use logo and the logo in jpg format. Audit report with the certification decision puts in the client file. A copy of the certificate in pdf. The duration time starting from accept the corrective actions for the non-conformities from the client to issue the certificate does not exceed 28 days. All the deadlines are monitoring through the certification monitoring sheet of each position / process.

In case the decision on certification is negative the decision maker inform the admin and the admin sends email to the GM to record the case and inform the client with negative notification.

At any case the maximum time to issue a certification are 28 days from the last day of stage 2 audit.

Director entries in the register of certificates on the website and a copy along with supporting documentation sends to the client in a way that the client requires. A copy of the certificate stored in the file administrator client.

For period of validity of the certificate of 3 (three) years, client is obliged to inform TUV UNITED about any changes that may affect the functioning of its management system and food safety.

Examples of changes are:

- a) Legal changes, changes in the commercial and organizational status or ownership changes
- b) Changes from the organization or products or management (e.g. General executives, decision-makers and technical staff)
- c) Changes of a contact address or location
- d) Modification of operations that are within the scope of certification, and
- e) Major changes in the products specifications or its process, management system and process.

### 8.5 maintaining certification

As per 17021-1 clause 9.6

**In addition, when conducting EnMS audits, the certification body shall ensure that, across the certification cycle, evidence related to the whole of the EnMS, including energy performance and energy performance improvement, is collected, evaluated and recorded as evidence in the audit reports.**

## 9. Client File:

Each file of the certified clients and applicants must include the following documents:

1. F-1/TUV UNITED-1 Application form fulfilled by the applicant/client, and reviewed including justification for auditor time determination, justification of the methodology used for sampling of sites and signed by TUV UNITED
2. F-2/TUV UNITED-1 Certification agreement signed by the client and TUV UNITED



## CERTIFICATION PROCEDURE

3. Company or producer registration
4. Evidence of the competence of auditors and technical experts ( approved auditors / experts lists)
5. Audit programs F-1 / TUV UNITED -1
6. Audit plan F- 5/TUV UNITED -1
7. History emails
8. Audit report stage 1, fulfilled related to TUV UNITED-1
9. Audit report stage 2, fulfilled and signed by the decision taker related to TUV UNITED-1
10. CA and evidences if apply
11. Certification, if apply
12. Certification letter and rules for logo use
13. Record of complaints and appeals

The administrator is responsible for complete the client file and in case there is a missing document, he/ she requests to ask the concerned person to complete the file.

The quality manager responsible for assure that all files are completed In order to prevent any failure in filling and record keeping and from time to time he / she requests to check the clients files. Also the internal audit plan must include checks the client's files process.

All client's files are scanned and kept as soft copy in the computer in safe manner and no one has access to them unless authorized persons have permission to do so.

The hard copies are stored in cupboard in a safe manner.

The person who checks the contents of the file must check every document and can use check list to tick cells in the check list.

## 10. Surveillance and surveillance audits phase

### 10.1 Surveillance activities

Surveillance activities includes on-site auditing of the certified client's management system's or certified products fulfilment of specified requirements with respect to the standard to which the certification is granted. Other surveillance activities may include:

- a) Enquiries from TUV UNITED to the certified client on aspects of certification;

## CERTIFICATION PROCEDURE

- b) Reviewing any certified client's statements with respect to its operations (e.g. promotional material, website);
- c) requests to the certified client to provide documented information (on paper or electronic media) other means of monitoring the certified client's performance.

### 10.2 Surveillance audit

Surveillance audits are on-site audits, but are not necessarily full system audits, and shall be planned together with the other surveillance activities so that TUV UNITED can maintain confidence that the client's certified management system continues to fulfil requirements between recertification audits.

Each surveillance for the relevant management system standard includes:

- a) Internal audits and management review;
- b) A review of actions taken on nonconformities identified during the previous audit;
- c) Complaints handling;
- d) Effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s);
- e) Progress of planned activities aimed at continual improvement;
- f) Continuing operational control;
- g) Review of any changes;
- h) Use of marks and/or any other reference to certification.
- i) Continuing use of a certification mark is authorized for placement on a product (or its packaging, or information accompanying it) of a type which has been certified, surveillance shall be established and shall include periodic surveillance of marked products to ensure ongoing validity of the demonstration of fulfilment of product requirements;
- j) Continuing use of a certification mark is authorized for a process or service, surveillance shall be established and shall include periodic surveillance activities to ensure ongoing validity of the demonstration of fulfilment of process or service requirements.

Surveillance audits are conducted for a period not later than 12 months.

Tracking dates and scheduling surveillance audits is conducted by Administrator, and to thereby conducts the audit programs for the clients which includes date of decision making which is the same as the certificate issuance date, the date of the first surveillance audit, the date of the second surveillance audit, the date of expiration of the certificate and the date of the recertification audit.

At least 50 days before the expiry of 12 months, notifies the client about the surveillance visit. In case there is no reply from the client till 3 months after the surveillance date the certificate will be cancelled

## CERTIFICATION PROCEDURE

from the website. Client confirms or requests for another date. Administrator can change the audit date but bearing in mind that the surveillance audit cannot be later than the deadline.

Lead auditor sends an audit plan to the client according to the Job order.

After the audit, the Lead auditor submits to the administrator the report and documents as for the initial audit to be forwarded to the decision maker.

If the report and Lead auditor's conclusion about client are positive, the decision maker to continue certification.

### • **ISO 50003:2021 – EnMS - 9.6.2 Surveillance audit**

**In addition, the client organization shall be able to demonstrate implementation of actions for energy performance improvement at the time of a surveillance audit. During the surveillance audits, demonstration of the achievement of energy performance improvement shall not be required .**

**(ISO 22003-1:2022) - 9.6.2 Where TUV UNITED conducts unannounced audits as part of surveillance activities, the certification body shall describe and make known in advance to the certified clients the conditions under which such audits will be organized and con-ducted**

## **11. Recertification phase**

### **11.1 Recertification audit planning**

A recertification audit is planned and conducted to evaluate the continued fulfilment of all of the requirements of the relevant management system standard or certified products or other normative document. This is planned and conducted in due time to enable for timely renewal before the certificate expiry date.

The recertification activity includes the review of previous surveillance audit reports and consider the performance of the management system over the most recent certification cycle and the certified products.

After completing the three-year certification cycle for re-certification is carried out identical procedures as for initial certification with the difference that a customer does not require filling out the application form **F 1 / TUV UNITED -1** unless there is a change in his or process data, and Stage 1 audit is not performed, but immediately starts with a Stage 2 audit. The whole process of writing and sending audit report and a decision making is the same as for the certification audit.

Recertification audit activities may need to have a stage 1 in situations where there have been significant changes to the management system, the organization, or the context in which the management system is operating (e.g. changes to legislation).

## CERTIFICATION PROCEDURE

### 11.2 Recertification audit

The recertification audit includes an on-site audit that addresses the following:

- a) 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 certification;
- b) Demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance;
- c) The effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s);
- d) Continuing use of a certification mark is authorized for placement on a product (or its packaging, or information accompanying it) of a type which has been certified, surveillance shall be established and shall include periodic surveillance of marked products to ensure ongoing validity of the demonstration of fulfilment of product requirements;
- e) Continuing use of a certification mark is authorized for a process or service, surveillance shall be established and shall include periodic surveillance activities to ensure ongoing validity of the demonstration of fulfilment of process or service requirements.

For any major nonconformity, TUV UNITED defines time limits for correction and corrective actions. These actions will be implemented and verified prior to the expiration of certification.

When recertification activities are successfully completed prior to the expiry date of the existing certification, the expiry date of the new certification can be based on the expiry date of the existing certification. The issue date on a new certificate shall be on or after the recertification decision.

If TUV UNITED has not completed the recertification audit or is unable to verify the implementation of corrections and corrective actions for any major nonconformity prior to the expiry date of the certification, then recertification shall not be recommended and the validity of the certification shall not be extended. The client shall be informed and the consequences shall be explained.

Following expiration of certification, TUV UNITED can restore certification within 6 months provided that the outstanding recertification activities are completed, otherwise at least a stage 2 shall be conducted. The effective date on the certificate shall be on or after the recertification decision and the expiry date shall be based on prior certification cycle.

**• ISO 50003:2021 – EnMS - 9.6.3 Recertification**  
**during recertification audits, the audit team shall review the necessary audit evidence to determine whether or not a continual energy performance improvement has been demonstrated prior to making a recommendation.**

**The recertification audits shall take into account any major change(s) including those in facilities, equipment, systems or processes.**

## CERTIFICATION PROCEDURE

### 12. Special audits

The certification Scheme manager

It may be TUV UNITED conduct short notice audit if necessary when TUV UNITED Receives one of the below cases.

Example for Cases but not limited to:

- a. Customer complaint
- b. Recall incident
- c. Scandal
- d. public opinion case
- e. Request from the accreditation body

In this case TUV UNITED by the scheme manager send notification to the certified client by email to inform him that TUV UNITED decided to conduct short notice audit to investigate the complaints or in response to change. The notice shall be delivered to the client within 3 working days.

The scheme manager assign the audit team using stage 2 check list maybe in some specific clauses depends on the information's that TUV UNITED received.

The results of this audit may lead to: Temp. Suspension/ Withdrawal/ Reduction of scope, and it's up to the certification decision Taker to take the decision as per his evaluation to the case.

**MD 22 Independently from the involvement of the competent regulatory authority, a special audit may be necessary in the event that TUV UNITED becomes aware that there has been a serious incident related to occupational health and safety, for example, a serious accident, or a serious breach of regulation, in order to investigate if the management system has not been compromised and did function effectively. TUV UNITED documents the outcome of its investigation.**

### 13. Extension or reduction of certification scope

The certification Scheme manager

Reducing of scope can be voluntary and mandatory.

Voluntary: Reducing of certification scope can be done at the written request of the client. Client hereby informs TUV UNITED of the reason for the reduction of certification scope and provides exact details about the reduction whether it is of location, product, or process steps. This request will be forwarded to the Manager of the relevant scheme, which will, based on the request, make a decision to reducing of certification scope

Mandatory: When TUV UNITED during the audit determines that a part of the process and / or services severely disrupted, and can make a proposal on the reduction of the part of scope to which the unfulfilled refers.

## CERTIFICATION PROCEDURE

The certificate will be suspended waiting to the result of the special audit. After that the new certificate will be issued with the new scope and the old certificate will be withdrawn.

This information will be changed on the website, as would be possible information about the validity of the certificate.

### 14. Suspension or withdraw the certificate

The certification Scheme manager

If the client does not act according to the certification rules TUV UNITED may take one of the following measures:

SUSPENSION of certification can be done in the following cases:

- In case there is any big changes in client's activities and / or processes up to on-site audit.
- in the case that TUV UNITED received any information from official institutions or the media about non-compliance relating to or directly connected with the activity / activities of the certified client, then TUV UNITED implements suspension until the completion of the investigation as to whether the information is accurate and until the moment when the non-compliance, if any, is removed.
- when the client fails to remove the non-conformities raised in the audit in agreed time frame.

The deadlines for the removal of non-conformities must not be longer than:

For large non-compliance - lack, failure or non-compliance of the whole standard point or failure to comply with standards or regulations or a serious threat to food safety - 90 days from the date of initial audit and 60 days from the surveillance.

For a small nonconformity - partial non-performance of standard point - 28 days when the certified client has voluntarily seeking suspension of the certificate.

- If there is a change of subjects and scopes of application of the management system (scope of certification), and the client did not act in accordance with the scope expansion and reducing.
- When a client performs untimely payment of certification services.
- In the case of certified client does not allow to carry out regular surveillance audits:
  - a) the first one before the expiry of one year from the date of the certification audit.
  - b) the second one before the expiry of two years from the certification audit. ( $\pm 30$  days).
  - c) on the basis of complaints by third parties, client's users of products or other interested parties.

## **CERTIFICATION PROCEDURE**

In the case of occurrence of conditions for the suspension, the decision taker shall decide on the suspension. The decision on the suspension is time limited to a maximum of 3 months. The notice shall be delivered to the customer within 3 working days, stating the reason for taking such measures.

On basis of the notice of certification suspension, the Client implements corrective measures to eliminate the causes of nonconformities which caused the suspension of the certification, which reports TUV UNITED and submit relevant evidences.

Verification of implemented corrective actions, as a rule, is done on the client's place in a form of complete additional audit.

In any of the above-mentioned case / reason TUV UNITED is required to change the status of the client from active to suspend on the website, and must state the reason for the suspension. The suspension is raised to a maximum period of 3 months, provided that the client may request termination of suspension if the reason for suspension is removed.

WITHDRAW / TERMINATION of the certification agreement shall be made in the following cases:

- TUV UNITED will terminate the certification agreement if after 3 months of suspension the client did not eliminate the reason for the suspension completely, TUV UNITED will permanently cancel certification and withdraw the certificate permanently.
- If happens that the client committed an infringement in delivering accurate information to legal documents (eg. From the register of legal entities) and in general when it comes to accuracy and authenticity of data TUV UNITED certification will terminate the contract.
- When the client's management system and food safety has a constant and serious difficulties to meet the requirements of the standard, including requirements for the effectiveness of the management system and food safety.
- In the case of abuse or misuse of certification and accreditation signs.
- In case of failure to eliminate the causes for which the client was suspended certification within the deadline set TUV UNITED, which may not be longer than 3 months.
- When a client requests a voluntary withdrawal of certification and agreement cancelation.

During withdrawal of the certificate, the certificate holder is obliged to do not use any longer the TUV UNITED certification sign and to guarantee that the documentation which stands in relation to that will not be used. The certificate holder is obliged to return to TUV UNITED the certificate within 15 days from the date of the decision by the decision taker which is verified by the signature of the Director TUV UNITED. The notice shall be delivered to the client within 3 working days, stating the reason for taking such measures.

Information on suspended and cancelled certificates are uploaded on the TUV UNITED website immediately and without delay, and is responsibility of the Quality Manager.

## CERTIFICATION PROCEDURE

During the suspension period (3 months) certificates that are suspended are visible on the site TUV UNITED. After the expiry of this period, TUV UNITED withdraws information from the website, but they are still available on request. The same act in case the certification agreement is cancelled. All certificates withdrawn due to termination of the certification agreement are visible on the site TUV UNITED for 3 months, then are withdrawn from the site and the information about it remain available on request.

If there is a complaint from the client to this Decision shall be dealt with according to procedure TUV UNITED - 8 Procedures for managing objections, appeals and discrepancies in interpretation.

### 15. Client transfer from another CB:

The certification Scheme manager

In case the client wants to terminate the contract with another certification body and to continue the certification cycle with TUV UNITED, should follow the following steps:

- Submit an application for TUV UNITED,
- Attached with the application: a copy of a valid certificate and by his signature confirms that it is not under sanctions or the threat of suspension with the certification body that has issued the certificate,
- Prove that all corrective actions for the non-conformities from previous audit are closed.
- Submit if possible the audit report of the last audit that was performed by the certification.

The certification schemes Manager in TUV UNITED checks the status of the certificate on the website or maybe send an email to the certification body that issued the certificate to verify the status of applicant's certificate. If TUV UNITED's certification scheme Manager has reasonable doubt (as inappropriate audit report, inadequate corrective measures), or that the certificate is under threat of suspension, will contact by email certification body that issued the certificate and will check the status of the certificate for a relevant client.

#### Pre- transfer review

When an applicant submits the required documents to TUV UNITED, then the certification scheme Manager, checks whether the application is in compliance with codes and food categories for which TUV UNITED is accredited or under accreditation , checks the contents of the previous audit report, checks nonconformities, if any, checks corrective actions as well as relevant evidence on their removal,

According to the result of the review, TUV UNITED will inform the applicant whether its application is accepted or not. If the application is accepted, the client will be graduating in TUV UNITED to achieve



## **CERTIFICATION PROCEDURE**

the status of a client during the certification cycle, and TUV UNITED will continue with the audit of the first following periodical surveillance audit.

In the case that the applicant for transfer to TUV UNITED, doesn't failed to provide the requested documents and status of the organization's certificate, TUV UNITED will consider the applicant as a new applicant.

When TUV UNITED fully accepts the applicant application, shall submit to the applicant an offer for the surveillance audit (one or two, depends on the actual certification cycle level in the moment of transfer application). The client accepts the offer, and TUV UNITED submits to the client the certification contract to be signed and stamped (if applicable) and returned to the office TUV UNITED. Upon receipt of the signed contract, TUV UNITED requires from the client to provide evidence that it terminated the contract with the certification body that issued the certificate and should send evidences to TUV UNITED.

Upon receipt of the contract, the client is treated like any other client TUV UNITED in its certification cycle, in accordance with the certification procedure TUV UNITED -1.

This client will be treated as other clients in which the periodical surveillance audit is planned, whether it is a first or second surveillance audit about.

In the case that TUV UNITED rejected a transfer application, should inform the applicant about the reason of rejection.

### **16. Remote Audit**

The certification Scheme manager

It may be TUV UNITED conduct Remote audit if necessary when TUV UNITED can't conduct the conformity audit due to external coercive threat. Clients that may not be easily accessible, and avoidance of travel delays and restrictions.

Extraordinary event or circumstance: A circumstance beyond the control of the organization, commonly referred to as "Force Majeure" or "act of God". Examples are war, strike, riot, political instability, geopolitical tension, terrorism, crime, pandemic, flooding, and earthquake, malicious computer hacking, other natural or man-made disasters.

It can be extend the certificate not more than 3 months in case surveillance 2 audit.

Surveillance / Recertification Audit may be given to postpone for a period not normally exceeding 6 months.

The remote audit can be conducted in surveillance 1 audit or recertification.

The remote audit can't be used to grant a new certificate.

## CERTIFICATION PROCEDURE

The results of this audit may lead to: continuity of the certificate validity / recertification / minor increasing or reduction of the certification scope, and it's up to the certification decision Taker to take the decision as per his evaluation to the case.

In this case TUV UNITED by the scheme manager send notification to the certified client by email to inform him that TUV UNITED decided to conduct Remote audit. The notice shall be delivered to the client within 3 working days.

The scheme manager should assess the risks of continuing certification and establish a documented policy and process, outlining the steps it will take in the event a certified organization is affected by an extraordinary event. The risk as per:

- When will the organization be able to ship products or perform the service defined within the current scope of certification?
- When will the organization be able to function normally?
- Will the organization need to use alternative manufacturing and/or distribution sites? If so, are these currently covered under the current certification or will they need to be evaluated?
- Does existing inventory still meet customer specifications or will the certified organization contact its customers regarding possible concessions?
- If the certified organization is certified to a management system standard that requires a disaster recovery plan or emergency response plan, has the certified organization implemented the plan and was it effective?
- Will some of the processes and/or services performed or products shipped be subcontracted to other organizations? If so, how will the other organizations' activities be controlled by the certified organization?
- To what extent has operation of the management system been affected?
- Has the Certified organization conducted an impact assessment?
- Identification of alternative sampling sites, as appropriate.

The scheme manager assign the audit team ( preferring the auditors has already familiar with the Management System and its practices and who have visited the client before) using stage 2 check list maybe in some specific clauses depends on the information's that TUV UNITED received and as per the risk assessment of the company and the specific situation.

The opening and closing meeting can be conducted by phone or Skype.

The auditor has to take in his consideration the changes to its certified client and its management system.

The remotely audit is not necessary to full system audit as per ISO 17021-1 clause 9.6.2.2. It shall include:

1. Internal audit and management review

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2. Review of action taken on nonconformities identified during the previous audit
3. Complaints handling
4. Effectiveness of the management system with regard to achieving the objectives
5. Contentiously improvement
6. Continuing operation control
7. Review any changes
8. Use of marks
9. HACCP plan for FSMS and FSSC
10. Risk assessment for OH&S MS
11. Environment aspects & Environment measures for EMS
12. Energy Sources, Consumption of energy & number of significant energy uses for EnMS

The Remote audit time can be reduced up to 70 % and in case more than 30% of the planned on-site duration of management systems audit, TUV UNITED shall justify the audit plan. See IAF MD 5: 2019 clause 4.5 and IAF MD22 clause B.4.5 and IAF ID 3:2011 and IAF MD 12. The timeframe for the audit may be 4 hr.'s max per day.

The Remote audit technique can be by web meetings, teleconference and or electronic verification of the client's processes. See IAF MD4.

Encouraging and considering the use of web-cams, cameras, etc. when physical evaluation of an event is desired or necessary.

The audit should be facilitated in quiet environments whenever possible to avoid interference and background noise (i.e., speakerphones).

Communication between the auditor and client for sending documents or clarification on issues and corrective action management shall be pre-defined and communicated.

The auditor should confirm deletion of any confidential documents, images, recordings, etc..

### 17. Use of logo

After a positive decision on certification, it is possible to use the TUV UNITED's logo on letterheads, sales and marketing materials, website, etc. Attached to this procedure is a sample of the logo and this the only way it can be used where it is permitted, but NEVER ON THE FINAL PRODUCT / LABORATORY CERTIFICATE / CALIBRATION CERTIFICATE/ INSPECTION REPORT/ TRAINING CERTIFICATE. Rules for use of the logo as follows and must be strictly adhered to:

When TUV UNITED's logo is used, the logo must contain the standard for which the organization is certified and shall specify the number of certificates (ie. The number which appears on the assigned certificate).

- Logo must not be altered in any way, and should only be used on materials containing business address (es) in which the audit took place. It must not be in any way implied or otherwise indicated that the location (s), except those audited, are covered by a certificate.

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- Logo of TUV UNITED may appear on the certificate or may be used in it, only if TUV UNITED confirms the certification for your scope of certification.
- Logo of TUV UNITED should not appear on products or to be used in any way which would imply that the product is certified.
- Logo of TUV UNITED can be used (with or without any accreditation logo) on stationery such as sales and contractual documents, letterheads, business cards, invoices, compliment slips, delivery slips, on advertising, displays, posters, TV advertisements, promotional videos, web sites, brochures.
- Logo of TUV UNITED alone can be used (the Accreditation Logo shall not be used) on all other applications such as on flags, on vehicles, on promotional material accompanying the product, on window stickers, on vehicles, billboard advertisements, on promotional goods such as pocket diaries, coffee mugs, coasters, doormats or any other application.
- Use of the logo must not in any way be misleading in terms of certification.
- In the case of suspension or termination of the contract, the use of the logo cancels in all advertising materials containing reference to the certificate.
- In the case of a reduction in scope, the client is required to correct all of the materials that indicate the certificate.
- Logo must not be used for activities that are outside the scope of certification.
- Logo must not be used in a way that could lead to a situation of loss of reputation or public trust.

### 17. appeal

As per ISO 17021-1 clause 9.8

### 18. Complaints

As per ISO 17021-1 clause 9.8

## RELATED DOCUMENTS

F- 1/TUV UNITED -1 Application form

F-2/TUV UNITED-1 Certification agreement

F-4 /TUV UNITED -1 Audit Plan

F-5/TUV UNITED-1 Audit report

F-7/TUV UNITED-1 Technical review and certification decision

F-8/TUV UNITED-1 CAR form

F-9/TUV UNITED-1 JOB ORDER