CERTIFICATION SCHEME
CERTIVATION GMBH

Version 2.8

1.0	02-Jan-2018	Initial version	Ralf von Rahden
2.0	16-May-2018	Complete revision	Ralf von Rahden
2.1	06-Jun-2018	Chap. 1.3, 3.3	Ralf von Rahden
2.2	25-Oct-2018		Ralf von Rahden
2.3	30-Jan-2019	Chap. 3.2.2.4	Ralf von Rahden
2.4	24-Jun-2019	Chap. 1.8	Ralf von Rahden
2.5	29-Jun-2020	Chap. 1.8	Ralf von Rahden
2.6	03-Sep-2020	Chap. 3.2.3.3	Ralf von Rahden
2.7	30-Dec-2020	Chap. 3.3, 3.4	Ralf von Rahden
2.8	10-Nov-2022	Chap. 3.2.3.2, 4.1.1	Ralf von Rahden
Rev.	**Date**	**Description**	**Approved by**

Table 1 History

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1 GENERAL

CERTivation GmbH offers auditing and certification of the conformity of management systems.
The certification services are open to all interested parties worldwide who accept the rules laid down in this certification scheme and submit an application for certification.

1.1 Objective

This certification scheme describes the basic procedure and requirements for certification at CERTivation GmbH. In particular, the document provides information on the procedure as well as on the parties involved in the certification process, their responsibilities, tasks, activities and interaction.

1.2 Target group

This document is intended for all interested parties. These are first of all the customers who are seeking auditing or certification by CERTivation. In addition, to accreditation bodies with which CERTivation GmbH is accredited or is seeking accreditation.
Furthermore, this document is addressed to the employees of CERTivation GmbH, in particular to the auditors, certification office, product managers and reviewers of CERTivation.

1.3 Scope

CERTivation GmbH offers conformity assessments in the following areas:
Management systems:

- Information management systems (ISMS) according to ISO/IEC 27001 in the currently valid version
- Quality management systems (QMS) according to DIN EN ISO 9001 in the currently valid version
- Environmental management systems (EMS) according to DIN EN ISO 14001 in the currently valid version
- Occupational health and safety management systems (OH&S) according to DIN ISO 45001 in the currently valid version

CERTivation GmbH exclusively offers audits and certifications in the accredited area. Explicitly **not** offered are:

- Development, implementation, operation or support of the certified process;
- Consulting or internal audits regarding the management system to be certified
- The certification body is not authorized to certify the management system of another certification body.
- Certification by CERTivation GmbH is always independent of whether a consulting organization is used or not. CERTivation always resolutely opposes any suggestions that the certification process would be less complicated, easier, faster or cheaper if a specific consulting organization were used.

1.4 Principles

The overarching goal of certification is to provide confidence to all parties that a management system meets specified requirements. The value of certification is the degree of public confidence conveyed by an impartial and competent evaluation by an independent, third party.
It is CERTivation's declared policy to perform certification independently, impartially, with qualified personnel at a high level, within the framework of the specifications of its own certification system.
CERTivation undertakes not to subcontract complete certification procedures.

1.4.1 Impartiality and independence

All CERTivation employees, in particular the auditors and reviewers, are obliged to perform their tasks in connection with certification procedures impartially, free from instructions from third parties, and as

independent experts are bound exclusively by the rules of the certification scheme and the certification system.

1.4.2 Confidentiality

In the course of its certification activities, CERTivation GmbH is dependent on being able to view information, some of which is sensitive, in order to be able to perform a competent assessment. Regardless of the information, CERTivation GmbH always assures unrestricted confidentiality. Information will only be disclosed to third parties after the owner of the information has given his consent to disclosure, unless the certification body is obliged to disclose it by requirements of the accreditation standards or legal regulations. The owner of the information will be informed of any disclosure.

1.4.3 Openness and transparency

Certifications are a suitable means to create trust. CERTivation GmbH creates the basis for this trust by communicating openly and transparently to all parties involved, so that the certification process is always clear and comprehensible.
CERTivation offers fast and uncomplicated accessibility at any time for inquiries of any kind, as well as appeals and complaints.

1.4.4 Non-discriminatory conditions

The services of CERTivation GmbH are available to all interested organizations as long as the impartiality or independence of the certification body is not compromised or the Code of Conduct of the ROSEN Group is not violated.
CERTivation GmbH assures equal treatment of all organizations, i.e. avoidance of any discrimination of nations, companies or persons.

1.5 Risk-based approach

CERTivation GmbH commits itself to competent, consistent, independent and impartial conformity assessment in accordance with the standards mentioned in chapter 1.3.
In doing so, risks related to the provision of competent, consequential, and impartial certification are considered and addressed through appropriate measures.

1.6 Responsibility

CERTivation GmbH is responsible for competent and objective conformity assessment. This implies that sufficient objective evidence is assessed on the basis of which a certification decision is made.

The customer has implemented a management system compliant with the requirements of the selected standard. It is the responsibility of the certified client to consistently achieve the fulfillment of the intended results and to maintain conformity.

1.7 Terms and definitions

The terms and definitions from [17021-1], and [27000] apply.

1.8 Bibliography

1.8.1 Standards considered

[9000]	DIN EN ISO 9000 in the currently valid version
[9001]	DIN EN ISO 9001 in the current valid version
[9004]	DIN EN ISO 9004 in the currently valid version
[14001]	DIN EN ISO 14001 in the currently valid version
[17021-1]	DIN EN ISO/IEC 17021-1 in the currently valid version
[17021-2]	ISO/IEC 17021-2 in the currently valid version

[17021-3]	ISO/IEC 17021-3 in the currently valid version
[17021-10]	ISO/IEC 17021-10 in the currently valid version
[19011]	DIN EN ISO 19011 in the currently valid version
[27000]	ISO/IEC 27000 in the current valid version
[27001]	ISO/IEC 27001 in the current valid version
[27002]	ISO/IEC 27002 in the current valid version
[27005]	ISO/IEC 27005 in the currently valid version
[27006]	ISO/IEC 27006 in the currently valid version
[45001]	DIN ISO 45001 in the currently valid version
[71 SD 6 019]	Compliance with legal obligations as part of an accredited ISO 14001:2004 certification, DAkkS, 71 SD 6 019, Revision: 1.1, August 20, 2015.
[71 SD 6 021]	IAF MD 5 - Mandatory document Determination of audit times for the auditing of quality management systems (QMS) and environmental management systems (EMS), DAkkS, 71 SD 6 021, Revision: 1.4, March 31, 2016.
[71 SD 6 057]	IAF MD 17 - Witness activities for the accreditation of certification bodies for management systems, DAkkS, 71 SD 6 057, Revision: 1.0, 03 August 2016.
[71 SD 6 062]	IAF MD 22 - Application of ISO/IEC 17021-1 for the certification of occupational safety and health management systems (SGA-MS), DAkkS, 71 SD 6 062, Revision: 1.0, July 16, 2018.
[IAF MD1]	International Accreditation Forum, Inc, "IAF Mandatory Document for the Audit and Certification of a Management System Operated by a Multi-Site Organization," Issue 2, IAF MD 1:2018, January 29, 2018.
[IAF MD2]	International Accreditation Forum, Inc, "IAF Mandatory Document for the Transfer of Accredited Certification of Management Systems", Issue 2, IAF MD2:2017, 15 June 2017.
[IAF MD4]	International Accreditation Forum, Inc, "IAF Mandatory Document for the Use of Information and Communication Technology (ICT) for Auditing/Assessment Purposes," Issue 2, IAF MD 4:2018, 04 July 2018.
[IAF MD5]	International Accreditation Forum, Inc, "IAF Mandatory Document - Determination of Audit Time of Quality and Environmental Management Systems," Issue 4, IAF MD 5:2019, November 11, 2019.
[IAF MD7]	International Accreditation Forum, Inc, "IAF Mandatory Document for Harmonization of Sanctions to be applied to Conformity Assessment Bodies", Issue 1, Version 2, IAF MD 7:2010, 15 September 2010.
[IAF MD10]	International Accreditation Forum, Inc, "IAF Mandatory Document for Assessment of Certification Body Management of Competence in Accordance with ISO/IEC 17021:2011," Issue 1, IAF MD 10:2013, February 11, 2013.
[IAF MD11]	International Accreditation Forum, Inc, "IAF Mandatory Document for the Application of ISO/IEC 17021 for Audits of Integrated Management Systems," Issue 1, Version 3, IAF MD 11:2013, December 16, 2013.
[IAF MD12]	International Accreditation Forum, Inc, "IAF Mandatory Document - Accreditation Assessment of Conformity Assessment Bodies with Activities in Multiple Countries", Issue 2, IAF MD 12:2016, 07 January 2016.
[IAF MD15]	International Accreditation Forum, Inc, "IAF Mandatory Document for the Collection of Data to Provide Indicators of MS CB' Performance," Issue 1, IAF MD15: 2014, July 14, 2014.
[IAF MD17]	International Accreditation Forum, Inc, "IAF Mandatory Document - Witnessing Activities for the Accreditation of Management Systems Certification Bodies", Issue 2, IAF MD 17:2019 07 May 2019.
[IAF MD19]	International Accreditation Forum, Inc, "IAF Mandatory Document For The Audit and Certification of a Management System operated by a Multi-Site Organization (where application of site sampling is not appropriate)", Issue 1, IAF MD 19:2016. 31 March 2016.
[IAF MD 21]	International Accreditation Forum, Inc, "IAF Mandatory Document - Requirements for the Migration to ISO 45001:2018 from OHSAS 18001:2007", Issue 1, IAF MD 21:2018, 18 January 2018.
[IAF MD 22]	International Accreditation Forum, Inc, "IAF Mandatory Document - Application of ISO/IEC 17021-1 for the Certification of Occupational Health and Safety Management Systems (OH&SMS)," Issue 1, IAF MD 22:2019, May 07, 2019.

[IAF MD 23] International Accreditation Forum, Inc, "IAF Mandatory Document - Control of Entities Operating on Behalf of Accredited Management Systems Certification Bodies", Issue 1, IAF MD 23:2018, 08 May 2018.
[EA-7/04 M:2017] International Accreditation Forum, Inc, "Legal Compliance as a part of accredited ISO 14001:2004 certification", Revision 03, 14 May 2017.

2 CERTIFICATION BODY

CERTivation GmbH is a limited liability company under German law, registered in the Commercial Register B of the Osnabrück District Court with the number HRB 211561.

2.1 Declaration of Independence

The certification body of CERTivation GmbH declares that it has received the information required in connection with the certification activities and that these activities are exclusively within their area of responsibility.
Furthermore, audits are not outsourced to management systems consulting organizations. This does not apply to the use of an individual or other organization by individual contract to serve as an external auditor or technical experts.

It retains the sole right for its decisions regarding the certification, including the Issuance, denial, maintenance, renewal, extension, limitation, suspension, or Restoration after suspension as well as withdrawal of certification. The decision regarding granting, denial, maintenance, renewal, extension, limitation, suspension or restoration after suspension as well as withdrawal of certification is never outsourced.

The top management of CERTivation GmbH is committed to independence and impartiality in all certification activities. Auditing and certification are carried out in accordance with the respective standard in the currently valid version and in compliance with additionally applicable legal standards and guidelines. Furthermore, the top management commits itself to comply with the requirements of [17021-1].
To ensure impartiality and objectivity of all evaluations and decisions, the entire staff of the certification body is:

- independent of financial and commercial influences, in all auditing and certification activities and decisions.
- free from technical instructions from other business units and subsidiaries

2.2 Committee for ensuring impartiality

CERTivation GmbH has established processes to ensure that the personnel used in a certification procedure work independently and impartially. In order to permanently guarantee the function of these processes, the certification body works with a risk-based approach.
In addition, CERTivation GmbH has established a committee to ensure impartiality, so that the impartiality of the work of the certification body is also regularly checked by an independent body.
The certification body shall demonstrate to the committee that its impartiality is not compromised initially or on an ongoing basis by economic, financial or other pressures. The committee

1. assists in the development of basic regulations regarding the impartiality of its certification activities,
2. counteracts any tendency on the part of the certification body to allow commercial or other aspects that prevent the permanent objective provision of certification activities,
3. Advises on issues affecting confidence in certification, including openness and public Perception, influence, and
4. Conducts an evaluation of the impartiality of the audits, certifications and decision-making processes of the certification body at least once a year.

The Committee may be assigned additional tasks or duties as long as those additional tasks or duties do not interfere with its essential role in ensuring impartiality.

2.3 Contact questions and suggestions

Address:

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Am Seitenkanal 8

49811 Lingen
Germany

Directions:
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49811 Lingen (Ems)

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Phone +49-591-9136-9001
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3 CERTIFICATION SVERFAHREN

This section illustrates how CERTivation GmbH audits and certifies a management system. First, the life cycle of a certificate is illustrated.
A two-stage certification process is used:

- The CERTivation GmbH auditor checks the conformity of a management system against the chosen standard and prepares an audit report.
- The certification body reviews the audit report, in particular to ensure comparability between audits.

3.1 Term

Each certification process consists of the following phases:

- Initial Certification;
- Surveillance audit (1 year after initial certification);
- Surveillance audit (2 years after initial certification);
- Re-certification (3 years after initial certification), provided that the aim is to maintain the validity of the certificate.

The following is shown in Figure 1 shows the life cycle of a certificate.

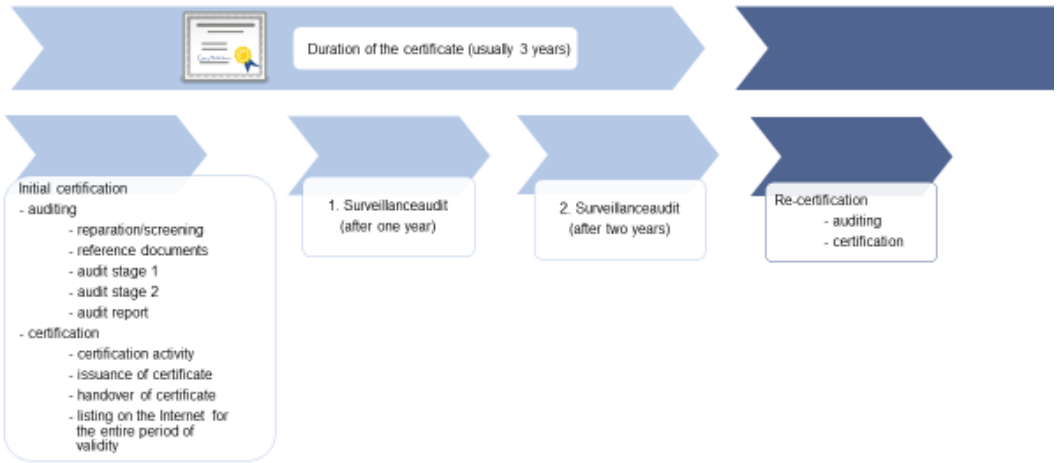

Figure 1 Lifecycle of a certificate

The date of the certificate is the date of the certification decision. If the decision for re-certification is made before the expiry of the certificate, the new expiration date is set to the date of expiry of the previous certificate cycle plus three years, unless there are content or sector specific reasons not to do so.

3.2 General procedure

3.2.1 Application and examination

CERTivation GmbH offers interested parties a defined application process. For this purpose, an inquiry form is provided, which must be completely filled out in writing and submitted. In this way, the certification body has all the necessary information at its disposal to decide whether the request can be covered by CERTivation's accreditation(s), as well as to calculate the audit time required and to select a competent audit team.
This process ensures that, on the one hand, the applicant is informed about the requirements for certification and, on the other hand, the certification body is aware of all aspects relating to the scope.

Upon receipt of the request, it will be reviewed for feasibility in conjunction with the available documentation on the following items:
- Formal check of the inquiry documents for completeness and conformity with the offer data,
- Feasibility check (standard, business sector/scope, deadlines),
- Verification of the admissibility of any exclusions made.

If the request is rejected, the reasons must be documented and communicated to the applicant in a comprehensible manner. The latter has the right of appeal.
Otherwise, CERTivation shall submit an offer to the applicant. Upon acceptance of the offer, CERTivation is commissioned to perform the service specified in the offer.

When the order is accepted, the following operations are triggered:
- Written order confirmation and assignment of the procedure ID
- Creating the certification file
- Inclusion of the order in the CERTivation database (master data, deadlines)
- Rough planning of the procedure (contacting, appointments, personnel planning based on the requested standard)

3.2.1.1 Determination of audit time expenditure

Based on the completed request form, the relevant standards and aspects to be considered, the audit time required is determined and documented.

3.2.1.2 Staffing of certification procedures

On the basis of the completed request form, the certification body selects a competent audit team and audit team leader who are independent for this procedure and available for the planned period. If necessary, suitable technical experts and/or interpreters will be involved.
The following aspects, among others, are taken into account when selecting the audit team:
- Audit objectives, audit scope, audit criteria, audit time expenditure
- Indication of whether the audit is a combined, integrated or joint audit.
- Required overall competence of the audit team.
- Selection of technical experts/interpreters does not unduly influence the audit.

In addition, the certification body selects competent and independent staff for the review of the audit reports and informs the client of the contact person in the certification office.

This selection will be communicated to the applicant 3 weeks before the start of the audit activities, if possible. The applicant then has the opportunity to object to the selection. The objection must be made in writing by letter, fax or e-mail.

The audit is performed by the selected audit team. The audit is planned and coordinated by the audit team leader.
The presence and justification of observers during an audit activity must be agreed by the certification body and the client before the audit is carried out. The audit team shall ensure that observers do not unduly interfere with or influence the audit process and outcome. (Observers may be members of the client's organization, consultants and assessors from the accreditation body, employees of regulating authorities or other authorized persons.)
If a witness audit is announced by the accreditation body, the customer will be informed in due time.

In case of audits with sector or area specific requirements, it is possible that the audit team, as long as they do not have sufficient experience in auditing the sector/area specific requirements themselves, to be assisted by a technical experts.

During an on-site audit at the organization to be certified, the audit team has a permanent contact person in the organization.
This person is usually an employee of the organization to be certified or its consultant.

3.2.2 Auditing

3.2.2.1 Initial certification

The initial certification audit splits into:
- Preparation;
- Stage 1 Audit;
- Stage 2 Audit (including site visit).

Preparation
As part of the preparation, the applicant provides the auditor with the information required for the stage 1 audit required management documents as well as an overview of the reference documents, with a mapping to the reference documents required by the respective standard - typically this includes, among others
- a representation of the management system as a whole including a process representation
- the guideline/management requirements,
- the risk analysis,
- A representation of the scope,
- Presentation of which requirements of the standard are implemented in the management system.

Stage 1 Audit
The stage 1 audit is based on the requirements in [17021-1], chap. 9.3.1.2 and, in the case of audits of an ISMS, also on the requirements in [27006], chap. 9.3.1.2. A review of the reference documents and a brief on-site assessment are carried out:
- The aim of the on-site meeting is to get to know each other, the site and the site-specific conditions. Furthermore, the schedule and the further audit are coordinated; for this purpose, aspects are identified that are to be given special consideration during the audit.
- To ensure that the standardized requirements for the audit (site visit) can be checked accordingly, the auditor checks whether all applicable requirements of the standard are documented accordingly, in particular risk assessment and treatment, guideline and safety objectives. In addition, it is determined whether the implementation meets the requirements for a management system with a complete Plan-Do-Check-Act (PDCA) cycle.
- In this context, a review of internal audits and management reviews takes place in particular.
- Ultimately, spot-check aspects of the standard to determine if the management system is certifiable.

The result of the stage 1 audit is documented in a report. The report forms the basis of the certification body's decision as to whether the audit can be continued with stage 2 or whether the applicant must first rectify any deficiencies. In the latter case, the certification body informs the applicant which information and documentation is still required. In addition, the certification body selects the audit team on this basis and carries out the planning for stage 2.

Stage 2 Audit
Finally, during the subsequent audit, the effectiveness of the management system in implementing the requirements of the selected management standard is examined and evaluated on site, taking into account the requirements in [17021-1], chap. 9.3.1.3:
- For each applicable aspect of the standard, the auditor checks how this aspect of the standard is to be implemented according to the documentation. The auditor examines the documentation and checks it for completeness, plausibility and traceability to the requirements of a management system with a complete PDCA cycle.
- For each applicable aspect of the standard, the auditor checks the degree of implementation of the measures specified in the documentation during the site visit.

- In addition, the auditor examines and evaluates the management system to determine whether the requirements for a management system with a complete PDCA cycle are implemented.
- Upon completion of the audit, the audit team leader orally provides the organization with a preliminary report on the results of the audit. The audit team may make recommendations for certification. Any deviations are recorded and a time period for elimination is agreed with the organization.
- After completion of the audit, a written audit report is prepared by the audit team leader, which records both the results of the audit and other important details. Any deviations found are reported in deviation logs as an attachment to the audit report.

Following the audit, the audit team leader prepares an audit report with a statement on the conformity and effectiveness of the management system, the suitability of the scope and achievement of the audit objectives. The audit report remains the property of CERTivation GmbH.

3.2.2.2 Monitoring audit

After the certificate has been issued, a surveillance audit must be carried out at least once a year to maintain the certificate, in which the effectiveness of the management system is checked on site.
The standard [17021-1] specifies the timing requirements for surveillance audits:

> "Surveillance audits shall be conducted at least once per calendar year except for the years in which a recertification audit is conducted. The date of the first surveillance audit following the initial certification shall not be more than 12 months after the date of the certification decision."

It is possible that additional monitoring audits may be necessary, for example, to account for additional factors such as seasons.

3.2.2.3 Re-certification audit

Before expiry of the certificate (which is generally valid for three years), a re-certification audit can be carried out with the aim of extending the validity of the certificate. It is essentially based on the initial certification and is also intended to determine the continuous effectiveness of the management system. Any significant deviations identified must have been rectified before the end of the validity period in order for the validity to be extended by recertification.

3.2.2.4 Further audits

Further audits may be required, for example, in the event of significant changes to the certified management system or extensions/restrictions of the scope. As a result, a new calculation may become necessary.
In the event of changes to the standard requirement, such as a standard revision, an effort recalculation may be necessary and must be approved.
In exceptional cases, audits may be announced at short notice due to changes or complaints.
Furthermore, the certification body decides on the necessity of an additional audit in case of reporting serious incidents of a OH&S management system.

3.2.3 Certification

3.2.3.1 Certification decision

The audit documents (reports, deviation logs, audit question list with records) are forwarded to the reviewer, including any corrective measures submitted. The reviewer checks and evaluates the audit documents submitted to him for appropriateness and comprehensibility of the presentation and decisions as well as for compliance with the CERTivation procedures.
Questions arising during the review and evaluation are clarified with the lead auditor. The reviewer forwards the results of his evaluation to the management of the certification body as a recommendation for a decision on certification. A certificate cannot be issued or confirmed if a deviation is still open.
If the implementation of corrections and corrective actions by the organization of any major nonconformity cannot be verified by the certification body within 6 months of the last day of Stage 2, a new Stage 2 shall be conducted prior to recommendation for certification.
The certification decision is made by the management of the certification body on the basis of the audit report and all additional information available.
The certification body is responsible for and retains the sole right to make its decisions regarding certification, including the granting, denial, maintenance of certification, extension or limitation of the scope of certification, renewal, suspension or reinstatement after suspension, or withdrawal of certification.
The organization receives the final evaluation report from CERTivation with the decision whether the certificate can be issued.
If CERTivation comes to the conclusion that the results of the assessment do not permit the issuance of a certificate, this is communicated in writing together with the reasons for the decision. The organization may appeal against the CERTivation decision.

3.2.3.2 Multiple Sites

If the organization consists of several sites, the audit time for the respective sites is calculated on the basis of Annex B 3.3 and B 6 of ISO 27006 as well as their relevance for the management system and the identified risks. The total audit time for such a procedure is always at least as much as if the entire management system of the organization were operated at one site.
If the applicant operates a management system distributed over several sites, then a sampling procedure for similar sites can be used. The samples must cover all sites over the validity period of the certificate. Sampling is planned and documented in the audit planning at the beginning of the certificate life cycle. The mandatory document [IAF MD1] is used as a basis for the implementation of a multiple site certification if a sampling procedure can be applied. If not, [IAF MD19] is used as a basis.

Main and secondary certificates

It is possible to generate a main and secondary certificate from one certificate. For example, in the case of management systems that are distributed over several sites, secondary certificates can be generated for the sites in order to increase transparency for interested parties. Secondary certificates are only valid in conjunction with the main certificate.

3.2.3.3 Certificate handling

CERTivation may deny, maintain, renew, suspend, restore, withdraw, extend or restrict certificates.

Deny

If CERTivation comes to the conclusion that the results of the assessment do not permit the issuance of a certificate, this is communicated in writing together with the reasons for the decision. The organization may appeal against the CERTivation decision.

Maintain

After successful certification, annual surveillance audits take place. Changes in the standard or in your company require adjustments to the management system. Any deviations identified in the audit must be closed in order to maintain the certificate.

Renew

The validity period of a certificate is usually three years. The validity can be renewed by a successful re-certification. The validity of the certificate is usually extended again by three years through re-certification. In order to avoid having an invalid certificate, the re-certification must be carried out before the certificate validity expires.

Suspend
A certificate is suspended when
- A significant requirement of the regulations is not met
- The Certified Client does not allow surveillance or recertification audits to be conducted with the required frequency
- The certified client has voluntarily requested a suspension.

The certificate may also be suspended if significant incidents have occurred. This may include, for example, a serious accident or a serious breach of legal obligations that requires the involvement of the competent supervisory authority. Suspension takes place after evaluation of the incident by the certification body.

Suspension of certification is possible for the period of 6 months at the most. Following the suspension, the reasons for the suspension are resolved and the certification is restored, or the certificate is restricted or withdrawn.

Restore
A suspended certificate can be restored after the causes of the suspension have been resolved. The decision is made by the certification body.

Withdraw
A certificate is withdrawn when
- It has been suspended for more than 6 months, meaningful restriction is not possible and requirements for certification are still not fully met
- Certification conditions are violated even after request for change
- The certified client has voluntarily requested to withdraw.

After withdrawal of the certificate, the customer has the possibility to make a new application for certification.

Expand
It may be that the scope of certification needs to be changed within the three-year certification cycle. In the event of an extension of the scope, the certification process will be repeated, starting from the (possibly required) assessment of the management system documentation. The process will generally continue, with a certification audit to extend the scope as normal.

Restrict
The scope of a certificate may be restricted under certain circumstances if the certified client has persistently failed to meet the requirements of the certification for parts of the scope. The restriction can only be made in accordance with the standard used.
The life cycle of the certification is not changed by the restriction.

3.2.3.4 Certification transfer

Certification by another certification body can be taken over by CERTivation GmbH under certain conditions.
For a transfer at the term of a certificate, an additional audit is necessary. For a transfer at the end of validity, a regular re-certification audit is necessary.
In addition to the management system documentation, the certified organization must also provide documentation on the nonconformities identified during the certificate validity cycle and the planned and implemented measures to address them. The minimum requirements of the information to be provided are described in the document [IAF MD2].

3.3 Communication

Information exchange
Information related to a certification procedure is communicated confidentially between client, auditor and certification body. The information is encrypted in an appropriate manner for this purpose.

3.3.1 Information obligations of the certification body

Changes in requirements for certification are made known by the certification body to its certified clients and appointed auditors. The information is published on the CERTivation GmbH website. In addition, each certified client receives the information in the form of a newsletter.
Information concerning individual certifications is communicated directly to those concerned.

Upon request, the certification body will provide information on the name, relevant normative document, scope and geographical location (city and country) and of a particular certified client, as well as on the status of a granted certification.

3.3.2 Information obligations of the customer

The certified client shall, in accordance with the certification agreement, notify the certification body without delay of matters that could affect the ability of the management system to continue to meet the requirements of the standard used for certification. Changes or events to be notified include, but are not limited to, regarding:

- Legal, economic or organizational status or ownership;
- Organization and management (e.g., key management, decision-making, or technical personnel);
- Contact address and locations;
- The scope of application covered by the certified management system;
- Significant changes to the management system and processes.
- Occurrence of a serious incident or breach of regulations requiring the involvement of the competent supervisory authority.

3.3.3 Complaints and appeals

Complaints
Complaints can be addressed to any employee of CERTivation GmbH. In order to ensure traceability, a complaint must generally be submitted to CERTivation GmbH by the complainant in writing and include all necessary information and documents. Complaints made verbally will be documented in writing.

As a rule, we examine complaints in several steps:

- First, we check whether the facts described fall within the scope of certification and whether they can already be assessed on the basis of the information and the documents submitted.
- If there are any uncertainties, we clarify the facts further. To this end, we usually request a statement from the certified organization concerned and forward the complaint to it.
- The certified organization reports to us and explains its position.
- If the audit shows that there is nothing to complain about with regard to the certified organization, we will inform you as the complainant....
- However, if it turns out that we as a certification body must intervene, we will deal further with the organization concerned. If there is sufficient evidence, we can, for example, initiate a special audit of the organization concerned. However, for reasons of confidentiality, we cannot provide information about the outcome of this audit.

However, as a complainant, you will receive a final letter of personal complaint in any case.
The "Complaint Management" process of CERTivation GmbH applies as a complement.

Appeals
As a CERTivation customer, you have the right to appeal against a certification decision. CERTivation assures you that the appeal will be treated confidentially and will not lead to any disadvantages for the appellant.

An objection must be made in writing. The following must be observed.

- Provide your name, address, and procedure number.
- Give detailed reasons for your objection.
- Attach any supporting evidence and documentation that will help you understand the appeal.
- Sign the objection.

You will receive a written confirmation of receipt of your objection.

As a rule, CERTivation examines appeals in several steps:

- The objection is passed on to the Quality Management Representative (QMB). This person first checks whether the facts described constitute a justified objection and whether it can already be assessed on the basis of the information and the documents submitted.
- If there are any uncertainties, we clarify the facts further. To this end, the QMB usually requests a statement from the parties involved in the procedure and forwards the complaint to them. These statements are reviewed by the QMB.
- If the review shows that the certification decision is not objectionable, we will inform you as the objector.
- However, if it turns out that the appeal is well-founded, your appeal will be upheld and the decision corrected.

As the objector, you will be kept informed of the status of the examination and will receive a final letter regarding your objection in any case.
The "objection management" process of CERTivation GmbH applies as a complement.

3.4 Impact of unforeseen events on the certification process

The certification process described assumes that everything goes according to plan. Unfortunately, this is not always the case. Unforeseen events can have an impact on the certification process, for example, restrictions on auditing.
In the event that it is necessary to deviate from the standard of a certification procedure due to unforeseeable events, the affected customers will be informed and possible solutions will be explored. Possible impacts affecting all procedures will be published on the CERTivation website under the "News" section.

4 CERTIFICATION MARK AND ITS USE

CERTivation GmbH issues a certificate and provides a logo/seal to the certified customer, which the certified customer can use for its own external image. In doing so, the rules for use described in this section must be observed.

4.1 Characters

4.1.1 Certificate

The CERTivation GmbH certificate contains the following information:

a) The name and geographic location of the certified client (or the geographic location of the headquarters and each site within the scope of a multiple site certification);
b) the date for granting, extending or limiting the scope of certification or renewal of certification, which shall not be earlier than the date of the relevant certification decision;
c) the expiration date, which is identical to the due date for recertification, in accordance with the recertification cycle;
d) a unique identification key;
e) the management system standard and/or other normative document(s), including an indication of the issue status (e.g. revision date or number), used for the audit of the certified client;
f) the clear and unambiguous scope of the certification with regard to activities, products and services as applicable at the respective site;
g) the name, address and certification mark of the certification body; other marks (e.g. accreditation symbols, client logo) may be used if care is taken to ensure that they are not misleading or ambiguous;
h) any other information required by the standard or other normative documents used for certification; certificates for ISO/IEC 27001 include a clear reference to the valid Statement of Applicability (SOA) using the version number;
i) a unique version number.
j) In the case of recertification, the following additional information is added to the certificate:
   - Date of initial certification (optional);
   - The start and expiration dates of the current certification cycle;
k) Signature of the head of the certification body

4.1.2 Logo/Seal

CERTivation GmbH is the holder of the certification seal for management systems.

Figure 1 Certification seal of CERTivation GmbH

The logo/seal consists of the "C" of the CERTivation logo, with mention of the certified standard in the center and the CERTivation lettering below.
The logo is provided to the certified organization in a fixed size and resolution. It may only be used in connection with the certified scope within the validity of the certification for external presentation. Modification of the seal is not permitted.

4.2 Certification mark User

Users of the certification mark (certificate and seal/logo) of CERTivation GmbH are the customers certified by CERTivation GmbH.

4.3 Right to use the sign

CERTivation GmbH permits the use of certification marks (certificate and seal/logo) exclusively in direct connection with the certified scope. It may be used on websites, information and advertising material.

The certified organization is allowed to advertise with the following signs during the period of validity of the certification:

- Seal/Logo;
- Certificate. The certificate may be used as a PDF document for external presentation.

Certification marks (certificate and seal/logo) of CERTivation GmbH may not be passed on to customers of the certified organization for use.
The customer may only use the certification certificates issued by CERTivation GmbH in their complete content and not in extracts or modified.

The certification mark may only be shown in the standard size and design. Standard size and design can be provided by CERTivation GmbH upon request. The size and colors of the certification mark may not be changed. The certification mark must always be shown in its entirety.

The mark user must comply with the requirements of CERTivation GmbH when referring to his certification status in communication media.
CERTivation GmbH requires its customers not to make or allow misleading statements regarding its certification.
This includes that the certified organization does not use the certification documents and parts thereof in a misleading manner or allow such use.

The use of the mark is limited to the scope of the certification. This requires
- The mention of the certification standard applied;
- Presenting in the context of the certified scope and avoiding misleading reference to non-certified areas, activities, locations, products or services;
- The mention of the certification body.

The certification mark may not be used on test reports, calibration certificates or certificates.
The marks may not be used on products or product packaging, nor may they be used in any other way that could be interpreted as a mark of product conformity.

The certificate holder must contact CERTivation GmbH with any questions regarding the use of the certification mark in accordance with the rules.
All advertising materials must be changed accordingly if the scope or validity of the certification has been changed. In the event of suspension or withdrawal of certification, the specifications of CERTivation GmbH must be complied with; if necessary (e.g. in the event of withdrawal or expiry), the use of all advertising materials containing references to the certification status must be terminated immediately.

CERTivation GmbH requires its customers not to use the certification by CERTivation GmbH in a way that discredits CERTivation GmbH and/or the certification system.
CERTivation GmbH remains the owner of the mark(s) and the certificate.

4.4 Loss of the right to use the mark

The right to use the marks expires automatically after the expiration of the validity of the certification. The right to use the marks also expires after suspension or withdrawal of certification. In such cases, the user of the mark may no longer use any documents, records, etc. that still bear the mark from the date of expiry.

4.5 Changes to the regulation on the use of signs

CERTivation GmbH informs the user of the mark immediately about any changes in the regulation on the use of the mark.