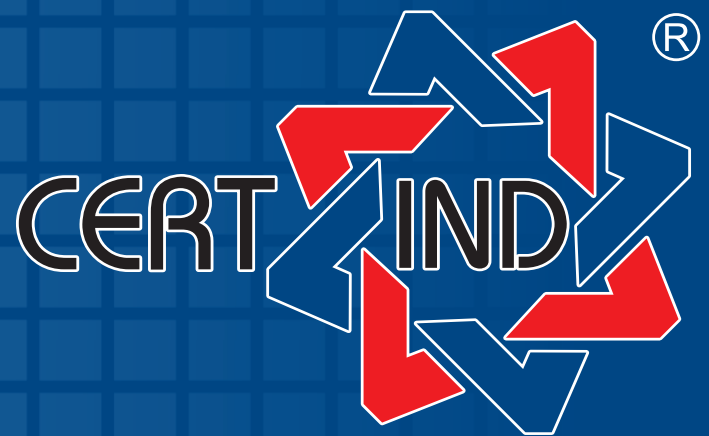


certification body



Your certification body, since 2003.

RULES  
FOR CERTIFICATION  
OF MANAGEMENT SYSTEMS



# RULES FOR CERTIFICATION OF MANAGEMENT SYSTEMS

## GENERAL

Certification of a management system provides independent demonstration that the management system of the organization:

- conforms to specified requirements;
- is capable of consistently achieving its stated policy and objectives;
- is effectively implemented.

The overall aim of certification is to give confidence to all parties that a management system fulfils specified requirements. The value of certification is the degree of public confidence and trust that is established by an impartial and competent assessment by a third-party.

The rules from this document include general provisions that have to be respected for obtaining, maintaining and renewal of a management system certification and are applicable to:

- Quality management systems in accordance with the standard ISO 9001
- Environmental management systems in accordance with the standard ISO 14001
- Occupational health and safety management systems in accordance with the standard ISO 45001
- Information security management systems in accordance with the standard ISO/IEC 27001
- Food Safety management systems in accordance with the standard ISO 22000
- Energy management systems in accordance with the standard ISO 50001
- Anti-bribery management systems in accordance with the standard ISO 37001
- Business continuity management systems in accordance with the standard ISO 22301
- Road traffic safety management systems in accordance with the standard ISO 39001
- Integrated management systems
- Community eco-management and audit scheme (EMAS) in accordance with Regulation (EC) No 1221/2009, Regulation (EC) 2017/1505 amending Annexes I, II and III to Regulation (EC) No 1221/2009 and Commission Regulation (EU) 2018/2026 amending Annex IV to Regulation (EC) No 1221/2009
- Other management systems in accordance with voluntary management system standards (e.g. ISO 13485, ISO 21001, ISO/IEC 20000-1, ISO 28000, social responsibility, etc.)

The responsibility for the conformity of the management system belongs to the certified client and not to CERTIND.

The certified client has the responsibility to take all necessary measures to perform the audits, to ensure access to all documented information, processes, areas, personnel, throughout the certification process-

## STEPS IN THE CERTIFICATION OF MANAGEMENT SYSTEMS

### PRE-CERTIFICATION ACTIVITIES

Certification process begins with the application for certification sent by the client to CERTIND, along with the "Self-assessment questionnaire" specific to each management system.

Application form can be submitted on electronic or paper support, directly or through CERTIND local partners. The information included in the application has to be assumed by an authorized representative of the client organization. Information collected through the application is necessary to know the organization, its activities and for CERTIND to establish the needed time and competence resources for evaluation.

In order to obtain the certification of the management system(s), the organization has to have implemented the desired management system(s), respecting the requirements of the reference standard(s) and compliance obligations. A management system is considered implemented when:

- An internal audit has been carried out to verify that the management system is effectively implemented and maintained;
- At least a management review has been carried out to ensure that the management system is adequate and effective,
- The objectives and processes needed to achieve the intended results have been defined;
- There have been recorded monitoring and measurements for the effective operation and control of the processes;
- Actions have been implemented to improve processes and the management system.

The organization must provide CERTIND with the documented information for which it has applied for certification as follows:

- A copy of the registration certificate and the ascertaining certificate of the organization showing clearly the activity, locations and addresses (for headquarters and for each location included in the certification area);
- copies of authorizations necessary for the operation of the organization, if applicable (Environmental Permit, Sanitary-veterinary Authorization, etc)
- Organizational Chart;

For EMAS, it is mandatory to submit to CERTIND the following:

- Description of the implemented environmental management system (policy, manual, procedures, etc.);
- Environmental review in accordance with Annex I to Regulation (EC) 1221/2009 and amendments to Regulation (EU) 2017/1505;



- The latest internal audit report for the environmental management system;
  - The latest management review on the functioning of EMS under Regulation (EC) No 1221/2009 and amendments of Regulation (EU) 2017/1505;
  - Records of the latest assessment of compliance with the applicable legal environmental requirements;
  - A draft of the environmental statement in accordance with Annex III to Regulation (EC) 1221/2009 and the amendments of Regulation (EU) 2017/1505.
- Sending these documents is mandatory.

Access to certification services is free and non-discriminatory. It is not conditioned by the size of the organization or its membership of an association or group.

The pre-certification activity ends with the signing of the evaluation and certification agreement. The agreement covers both initial certification / recertification activities of the management system surveillance activities .

### **INITIAL CERTIFICATION**

Depending on the specifics of the application, CERTIND defines the composition of the audit team. The client is entitled to require changes to the composition of the audit team, with justification. If in 3 days since received, the composition of the audit team is not contested, it is considered accepted by the client. In case the requirement of the client is valid CERTIND will change the members of the team in discussion.

CERTIND clients have the obligation to accept in the audit teams the presence of observers, e.g. accreditation body assessors, auditors in training, representatives of the competent authority.

*Initial certification of management system includes an audit in two stages - stage 1 and stage 2.*

### **STAGE 1 AUDIT**

Stage 1 audit is done usually at the premises of the client and its objectives are to:

- review the client's management system documented information;
- evaluate the client's site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for stage 2;
- review the client's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;
- obtain necessary information regarding the scope of the management system, including: the client's site(s); processes and equipment used; levels of controls established (particularly in case of multisite clients); applicable statutory and regulatory requirements;
- review the allocation of resources for stage 2 and agree the details of stage 2 with the client;
- provide a focus for planning stage 2 by gaining a sufficient understanding of the client's management system and site operations in the context of the management system standard or other normative document;
- evaluate if the internal audits and management reviews are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for stage 2.

In some situations, stage 1 can be done without visiting client's location. This decision can be motivated by factors like client's location or previous knowledge of the client organization, for example. Stage 1 findings are documented in the stage 1 audit report that is communicated to the client. Stage 1 audit report includes identification of any areas of concern that could be classified as nonconformity during stage 2.

Interval between stage 1 and stage 2 takes into consideration the needs of the client to resolve areas of concern.

The maximum period that can pass between stage 1 and stage 2 audits is 6 months. If, within 6 months of the completion of the Stage 1 audit, the Stage 2 audit is not carried out, CERTIND will consider the results of the audit stage 1 to be irrelevant. The resumption of the evaluation process for certification will require, in this situation, repeat the stage 1 audit.

If during the period between Stage 1 and Stage 2 audit there are significant changes that may have an impact on the management system, CERTIND may decide to repeat all or part of the Stage 1 audit.

### **STAGE 2 AUDIT**

The purpose of the stage 2 is to evaluate the implementation, including effectiveness of the client's management system.

Stage 2 audit is performed at the client's location(s).

Stage 2 is performed based on the audit plan agreed with the client and includes the auditing of at least the following: information and evidence about conformity to all requirements of the applicable management system standard or other normative documents; performance monitoring, measuring, reporting and reviewing against key performance objectives and targets; the client's management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements; operational control of the client's processes; internal auditing and management review; management responsibility for the client's policies.



On-site audit begins with the opening meeting held with the client's management and other representatives. The opening meeting is a formal meeting usually conducted by the lead auditor with the purpose to provide a short explanation of how the audit activities will be undertaken.

During the on-site audit, the audit team aims to obtain information using the methods that include interviews, observing activities and review of documented information.

The audit team will record evidence of conformity and nonconformity.

Nonconformities identified during audits can be major and minor nonconformities. The definition of each type of nonconformity is included in the audit plan.

On-site audit is concluded with the closing meeting, also held with the management of the client and conducted by the lead auditor. The purpose of the closing meeting is to present the conclusions of the stage 2 audit including audit team recommendation regarding certification.

For all nonconformities identified by the audit team, the organization has an obligation to analyse the cause of the nonconformities and to propose corrections and corrective actions with deadlines and responsibilities within max. 10 days from the date of the identified nonconformity.

The objective evidence of the corrective actions and corrections proposed and implemented by the organization for major nonconformities will be evaluated by a member of the audit team through an on-site visit or other appropriate verification method and will be included in the certification file.

For major nonconformities, the corrective actions must be evaluated in max. 6 months from the audit. If the CERTIND is not able to verify the implementation of corrections and corrective actions the major nonconformity within 6 months after the last day of stage 2, another stage 2 audit shall be conducted in order to continue with the certification process.

For minor nonconformities, the audit team will analyse the corrective actions and corrections proposed by the client to determine if they are acceptable within 5 days since receiving them. CERTIND shall verify the implementation of corrections and corrective actions during the following audit.

The stage 2 audit report is elaborated after the on-site audit has been completed.

If the proposal of the audit team is not to grant the certification, CERTIND will inform the client on the decision to stop the certification process – when there are too many identified nonconformities for which implementing corrective actions in a reasonable period of time is not possible. In this case, the certification process can be resumed by a new application for certification sent to CERTIND.

#### **Audit time**

The time needed for the evaluation of the management system is defined by CERTIND based on a number of criteria among which the most significant are: management system type, effective number of employees and complexity of the client's activity. Audit time is calculated in auditor days and it is based on mandatory IAF documents and/or reference standards.

#### **Fees for management system audit and certification**

##### *Stage 1 audit*

Fees for stage 1 audit are calculated based on the number of auditor days needed for planning, performing and reporting the audit. Travel and accommodation expenses may be added.

##### *Stage 2 audit*

Stage 2 audit fees are calculated similar to stage 1 fees.

##### *Surveillance audit*

Fees for surveillance audits are calculated also based on the number of auditor days needed for planning, performing and reporting the audit that can be supplemented with travel and accommodation expenses.

The fee for an auditor day is between 100 and 400 Euro (without VAT).

The final value of an evaluation and certification agreement takes into account all activities included in the certification process, meaning: pre-certification activities, on-site audit, reporting, final evaluation, decision about certification and annual surveillances.

Normally, the final value of the evaluation and certification agreements includes the costs with transport and accommodation of the audit team, if not agreed otherwise between the parties.

#### **Organizations with multiple locations (Multi – site)**

For auditing organizations with multiple locations, CERTIND may employ sampling depending on a number of eligibility criteria and if the certification scheme allows. Not all multi-site organizations are eligible for sampling.

The size and structure of the sample is calculated by CERTIND and communicated to the client.

#### **DECISION FOR CERTIFICATION**

Granting of certification/ recertification for the management system is done by CERTIND according to its procedures after the evaluation activities have been completed successfully and major nonconformities (if any) have been eliminated.



## CONFORMITY CERTIFICATE

CERTIND issues a conformity certificate for each certified management system.

The conformity certificate identifies the beginning and expiration dates for the certification cycle. The validity of the certificates depends on the application of stickers that confirm successful performance of the surveillance annual audits.

In case the certified client requests for changes to the existing conformity certificate(s) due to changes in the organization (change of name, legal status, addresses, rephrasing of certification scope without changes to the activities, correcting errors in the conformity certificate, the inclusion of some texts in the certificate) it needs to inform CERTIND on the matter.

Depending on the requirement of the client, CERTIND will decide regarding the size, type and period of the evaluation activities involved.

Revised certificates have the same validity as the existing ones but identify the date of revision.

The fees for issuing revised certificates are included in the evaluation and certification agreement.

## EMAS: VALIDATION OF ENVIRONMENTAL STATEMENT/ UPDATED ENVIRONMENTAL STATEMENT

By validating the environmental statement/ updated environmental statement, CERTIND confirms that the information is complete and valid and the requirements of Annex IV of Regulation (EC) No 1221/2009 and amendments of Commission Regulation (EU) 2018/2026 amending Annex IV to Regulation (EC) No 1221/2009.

Validation of the environmental statement is possible only if:

a) the information and data in the organisation's environmental statement or updated environmental statement are reliable and correct and meet the requirements of Regulation (EC) No 1221/2009 and amendments of Regulation (EU) 2017/1505 and Regulation (EU) 2018/2026;

(b) there is no evidence that the organisation does not fulfil applicable legal requirements relating to the environment.

Upon validation, CERTIND shall issue a signed declaration on verification and validation activities.

## SURVEILLANCE OF CERTIFICATION

Surveillance activities are performed during the whole certification cycle.

Surveillance activities include on-site audits in the first and second year following the certification. The purpose of surveillance audits is to evaluate if the management system of the client continues to fulfil the requirements for certification.

The program of surveillance audits is communicated to the client along with the conformity certificate.

CERTIND informs the certified client about the next programmed surveillance audit with at least a month before the programmed period. On this occasion, the certified client is asked to provide information about the changes made to the management system and which have the potential to affect compliance with the requirements.

Surveillance activities can include besides audits:

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

If during surveillance audits, major nonconformities are identified, the client shall implement successful corrective actions in maximum 3 months from the surveillance audit in order for the certification to be maintained. Minor nonconformities shall be reviewed and treated by the client and the evaluation of corrective actions is done during the next audit.

After successfully completing the surveillance activities CERTIND will send to the client the stickers to be placed on the certificates in order to confirm its validity.

## UNPLANNED AUDITS

In certain justified situations (e.g. to investigate complaints, follow-up for suspended clients or in response to changes in client organizations, work or environmental accidents, information security incidents, serious breach on compliance obligations which require the competent authority to intervene, judicial inquiries on corruption, market perception by interested parties as having a high risk of corruption, etc ) CERTIND may perform unplanned audits. Those are short-noticed audits (but no less than 2 days in advance) or unannounced and may be complete system audits or focused on certain areas or processes. Details of the short notice audits are communicated to the client through the audit plan.

## EXPANDING THE CERTIFICATION SCOPE

The certification scope can be expanded during the certification cycle to include new locations or activities.

Evaluation for extension of scope is done based on an addendum to the existing contract through on-site audit.

Extension can be done during planned surveillance audits or through special audit.

Following successful evaluation for extension CERTIND shall issue a new conformity certificate identifying the expanded certification scope as well as the date of scope extension but having the same expiration date as the replaced certificate.



## **SUSPENDING, WITHDRAWAL OR REDUCING THE SCOPE OF CERTIFICATION**

### **SUSPENDING THE CERTIFICATION**

The conformity certificate can be suspended in situations like:

- the certified management system experienced repeated and serious failures in what concerns the fulfilment of the certification requirements, including the requirements related to the efficiency of the management system;
- the certified client does not allow the performance of the surveillance audits in compliance with the established scheduling.
- the certified client requests the suspension voluntarily;
- the certified client uses incorrectly the conformity certificate(s) or the certification mark and does not take in due time the relevant measures in order to remedy these aspects;
- the certified client does not inform CERTIND as soon as possible in case any amendments occur during the validity period of certifications, which could affect the status of the certification and/or the capability of the management system to fulfil the requirements of the reference documents;
- the certified client refuses to apply the amendments operated by CERTIND in its certification regulations within the set time limits.
- the certified client fails to complete the payments for the contractual activities within maximum 30 calendar days since the issuance of invoices.
- if, following unplanned audits it is found that the requirements of the certified management system are not met.

CERTIND informs the certified client about the suspension and its consequences. The suspension period does not exceed 6 months.

Certification is restored by CERTIND if the problems that led to suspension have been resolved in a period that does not exceed suspension period. The failure to resolve the problems that led to suspension in time will result in the withdrawal or reduction of certification.

During suspension the management system certification is temporary invalid.

The certified client is not entitled to use the management system certification during suspension.

### **WITHDRAWAL OF CERTIFICATION**

Management system certification can be withdrawn in the following situations:

- the certified client does not eliminate the problems that resulted in the suspension of the certification in due time;
- the certified client ceases to operate, is dissolved, files for bankruptcy or is found in any other situation that does not allow him to operate;
- the certified client voluntarily requests withdrawal of certification.

After withdrawal, the client is not allowed to use the conformity certificate(s) and certification logo and shall send the original certificate(s) to CERTIND. Withdrawal of certification does not cancel any outstanding financial obligations of the client towards CERTIND, if any.

### **REDUCING OF CERTIFICATION SCOPE**

The management system certification scope can be reduced by excluding parts (activities or locations) not meeting the requirements when the certified client has persistently or seriously failed to meet the certification requirements for those parts of the certification scope.

The certification scope can be also reduced at the request of the client.

### **RECERTIFICATION OF MANAGEMENT SYSTEM**

Recertification audit is performed to confirm the continued conformity and effectiveness of the management system and its continued relevance and applicability for the scope of certification. Recertification is performed normally in the third year of the certification cycle before the certification expires.

CERTIND informs its certified clients, directly or through local partners, regarding the expiration of certification and the need to plan recertification.

When recertification activities are successfully completed prior to the expiry date of the existing certification, CERTIND may decide to grant the recertification at a date prior to the expiry date of the existing certification and in this case the expiry date of the new certification can be based on the expiry date of the existing certification. In this case the new certification cycle is longer than 3 years.

When recertification activities can not be completed prior to the expiry date of the existing certification, CERTIND may restore certification within 6 months provided that the recertification activities are completed. In this case, the conformity certificate will identify the date of the current certification decision and the expiry date will be based on the expiry date of the previous certification cycle. In this case the new certification cycle is less than 3 years.

When recertification activities can not be completed within 6 months of the expiry date of the existing certification, CERTIND can conduct only a stage 2 audit in order to restore certification. If a longer period of 12 months has passed since the expiry date of the previous certification cycle, CERTIND will treat that client as a new client and will perform stage 1 and stage 2 audits.



## **TRANSFER OF CERTIFICATION**

CERTIND accepts for transfer only certifications issued under accreditation from an accreditation body signatory of the IAF MLA Agreements.

The transfer of certifications can be done in any moment during the certification cycle.

The decision to accept or reject a transfer is taken by CERTIND following a review of the applicant organization.

Following the transfer, CERTIND will issue a new certificate that respects the existing certification cycle.

## **APPEALS, COMPLAINTS AND REQUEST FOR INFORMATION**

### **APPEALS**

Appeals may refer to aspects like: certification decisions or CERTIND solutions to complaints.

Appeals are addressed in writing.

Persons involved in the review of an appeal are different from the persons that participated in activities referred to by the appeal.

Steps in handling an appeal: recording the appeal and confirmation to the sender; request for documents and information from the appellant or persons involved in the activities; review of the situation and decision taken by the Appeals Committee; formal answer to the appellant and corrective actions implemented if required.

During the review and decision making phases CERTIND keeps the appellant informed on the status of the process.

### **COMPLAINTS**

Complaints may refer to: activities of CERTIND personnel in relation with the clients or other parties; activities of organizations with certified management system.

The personnel involved in handling complaints is nominated for each case and does not include individuals involved in the activities referred to by the complaint.

Steps in handling a complaint are: recording and confirmation to the sender; information of the parties involved; request for documents and information from involved parties; supplementary evaluation that may include unplanned/special audits; formal decision that is communicated to all parties involved and implementation corrective actions if considered needed.

During the handling process CERTIND keeps the complainant informed on the status of the process.

### **REQUEST FOR INFORMATION**

Upon request, CERTIND will provide information regarding: status of a given certification, name, related normative document, scope and geographical location (city and country) for a specific certified client.

When required by law CERTIND will provide information generated in the audit and certification processes and will inform the client or the person concerned about this aspect.

### **CONFIDENTIALITY**

CERTIND commits to maintain confidentiality of all information obtained or created during certification activities. This commitment includes all persons that perform activities on behalf of CERTIND.

CERTIND does not make publicly available information about a certain client without the written consent of the client.

Information about a client from other sources than the client (e.g. complaints or information from authorities) are considered confidential and treated accordingly.

### **IMPARTIALITY**

In order to provide confidence through certification it is vital that our activity is perceived as impartial. All personnel performing activities on behalf of CERTIND is aware of the need for impartiality.

CERTIND decisions are based exclusively on objective evidence collected during assessment processes and are not influenced by interests or third parties.

CERTIND maintains a continual process of identification and assessment of risks aimed to identify and treat (eliminate or reduce to an acceptable level) all threats to impartiality.

Our commitment to impartiality is publicly available in the Impartiality policy.

### **EXCHANGE OF INFORMATION**

CERTIND provides information on the certification requirements and the specifics of the certification process through the present document as well as through its website and printed material.

Rights and obligations of certified clients are included in the assessment and certification contract.

CERTIND may decide to disseminate information regarding the certification process for a certain geographic area through local partners.

In case of changes to the certification requirements (e.g. in case reference standards are revised) CERTIND publishes on its website information for obtaining and maintaining certification. CERTIND informs directly or through its local partners each certified client regarding changed requirements.

Certified clients are required to inform CERTIND without delay regarding all changes that may affect the capability of the certified management system. Those changes may refer to legal or commercial status, property, organization and management (key personnel and facilities); locations; activities; major changes to processes.

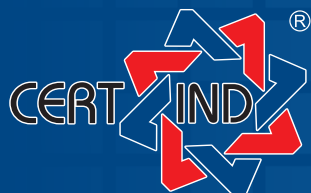
### **REFERENCE TO CERTIFICATION AND USE OF MARKS**

Certified clients are required to respect the requirements regarding reference to certification and use of certification marks. Those requirements are included in the Rules for using the certification mark document that is transmitted to the certified client along with the certification logo.

Certified clients can use the certification logo for as long as the management system certification is valid, on: documents, websites or other marketing purposes that refer to activities included in the certification scope.

Certified clients are required not to make misleading statements regarding their management system certification.





Your certification body, since 2003.

**CERTIND SA**

Palatul UGIR 1903, str. George Enescu 27-29, sector 1, București  
Tel. / Fax: +4(021).313.3651 - E-mail: office@certind.ro  
R.C.: J40/7870/2003 - C.I.F.: RO 15502676  
Capital social: 192.000 RON

[www.certind.ro](http://www.certind.ro)

