



**SV CERTIFICATION SRO**

# Terms and conditions for the certification of management systems

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## 1. Purpose and scope

The purpose of this document is to define the relationships between SV Certification and its client organizations with regard to the Certification of Management Systems in accordance with the requirements of the ISO / IEC 17021-1:2015 Certification Bodies standard and the rules set by the body of accreditation.

Through this document SV Certification undertakes:

- to operate according to the principles of impartiality and independence;
- not to carry out consultancy activities
- to provide the client with the service for the offices and the scope, as indicated in the offer which is an integral part of this document;
- to inform the client of any suspension, revocation or denial of accreditation, as well as to support the client in the transition to another accredited Body; SV Certification is not responsible for any damage caused to the Client by suspension, revocation or denial of accreditation; in these cases, the Client has the right to renounce the contractual relationship with SV Certification, without notice and without additional costs;
- to use qualified personnel or employees or external personnel operating on behalf of SV Certification. These personnel are required to sign confidentiality agreements and to operate according to the principles of impartiality and independence.

SV Certification provides certification services for the following management systems:

- QMS - Quality Management Systems;
- EMS - Environmental Management Systems;
- SGS - Safety management systems;
- ISMS - Management systems for information security;

The certification services, related accredited schemes and particular sectors, are defined in detail in the Accreditation Certificates issued by the Accreditation Bodies.

SV Certification also provides evaluation and certification services related to non-accredited activities, schemes, sectors, reference standards.

In these cases, the certifications issued do not fall within the scope of accreditation. The valid requirements for accredited activities are however also applied for activities, schemes and/or sectors not yet accredited; SV Certification policy, in fact, is to gradually extend accreditation to all those sectors that show interest in independent third party certification and as an element of guarantee towards the market and/or the client about the ability to operate in agreement the principles and requirements of reference standards relating to Company Management Systems.

The decision to extend the accreditation is in any case a prerogative of the SV Certification Top management.

SV Certification cannot (is prohibited) issue certificates not accredited in the areas covered by accreditation. The non-accredited certificate indicates a certificate that was issued in a non-accredited regime, i.e. it does not contain a term accreditation mark or a reference to accreditation

SV Certification cannot issue such agreements with customers for certification, the result of which would be the issuance of a non-accredited certificate in the accredited environment

## 2. General requirements

For the certification service to be activated, the client must meet the following requirements:

- must have a Management System documented in accordance with the requirements of the required reference standard and must demonstrate that it is applied operationally;
  - Guarantee the necessary conditions for conducting the audit: availability of documentation for its examination, access to all areas, records (including internal audit reports) and personnel during each audit;
  - Always comply with the provisions applicable to the certification scheme.
  - The system must be operational for at least 3 months;
  - must allow free access, in safe conditions, to all its areas/offices where the relevant activities within the required field of application are carried out;
  - At least one entire Internal Audit cycle must be completed;
  - must inform SV Certification in advance in the event of transfers of ownership, changes of addresses, opening of new offices, changes of company name and of any changes that may affect the capacity and effectiveness of the Management System, including all the different situations detected by any Supervisory authority as well as any suspension or withdrawal of authorizations, concessions, etc. relating to the subject of certification;
  - Guarantee that no document, mark or certification report, including parts of it, are used in a misleading way;
  - Follow the rules on the use of the brand and the certification provided by SV Certification on your documents such as: letters, illustrative or advertising material.
  - At least one Management Review must be performed
  - must accept, at no additional cost, the possible presence during the audit of representatives of the accreditation/control body, as Observers;
  - must accept all the conditions contained in this document and in the offer acceptance form.
  - Do not use the certification in order to discredit SV Certification and do not make any declaration about your certification which can be considered by SV Certification as deceptive or unauthorized;
- As part of the audit activities, the SV Certification assessors consider the representatives of the Organization indicated in the organization chart of the management system subject to certification as interlocutors; if the Organization intends to involve other people (e.g. consultants) it is obliged in any way to ensure that their role is that of observer.

## 3. Certification process

### a. Offer request and offer review

For each Organization interested in the certification of a Company Management System, SV Certification processes and

transmits a specific and complete offer with all information relating to activities and prices, based on the rates in force.

The Client (Organization) that intends to obtain the certification of the Management System, transmits the essential data to SV Certification by filling in and sending the "Offer Request", available on the website [www.svcertification.com](http://www.svcertification.com), on the basis of which SV Certification issues a contract offer.

After receiving the client's request through the completed form, SV Certification proceeds to review the application. If from the review of the application the information is incomplete or deficient, SV Certification requests additional information from the client.

Before carrying out the audit SV Certification examines that the information relating to the Client and its management system are:

- that the information relating to the Client and its management system is sufficient to conduct the audit
- that the certification requirements are clearly established (e.g. ISO 9001: 2015, etc.);
- that any difference in interpretation has been resolved;
- That SV Certification has the skills (e.g. Quality auditor, Quality Lead Auditor, Quality Expert) and the ability to perform certification activities (e.g. in terms of Quality /Environment/Safety/Security Lead Auditor, Auditor, Expert available).

SV Certification review of the application takes into consideration the following elements:

- definition of audit times as per documents IAF MD 05 - IAF MD 22 - ISO / IEC 27006: 2015
- consistency of all data provided by the client
- presence or absence of consultancy companies
- outsourcing activities
- verification of the causes of increase or reduction audit times

#### b. Offer issue

When the review is positive, an economic offer is issued in accordance with its tariff available on request. The offer will contain the following information:

- Reference standards
- NACE / EA sector
- Type of accreditation
- Certification purpose required
- Duration of the certification audit, surveillance and renewal
- General conditions

When signing the Offer, the client expressly declares to know, understand and accept what is established in the general terms and conditions of the contract and in the applicable regulations.

The contractual conditions are to be considered valid if the audit activities begin within 1 (one) year from the date of acceptance; otherwise SV Certification reserves the right to review the terms of the contract.

In the event that the Organization decides to terminate the agreement, it is obliged in any way to correspond to SV Certification as specified in the general terms and conditions of the contract.

SV Certification communicates, in advance sending the audit plan, the names of the audit team to the client in the event of conflicts of interest, the client can request replacement, within 5 working days giving the reason for the request.

#### c. Pre-audit (optional)

The client can request the conduct of a Preliminary Audit, this audit, for consideration, has the purpose of assessing the degree of implementation of the Management System before activating the certification process. At the end of the pre-audit, non-compliance reports are not released ma, but a report is drawn up which is left as a copy to the client.

#### d. Initial certification audit

The certification audit always involves two phases.

**The stage 1 audit:** SV Certification carries out Stage 1, which consists of a documentary examination and of the applicable mandatory requirements, at the site(s) (Stage1 audit "on-site") or in the office (Stage1 audit "off- site "- only 20%); It includes:

- verification of the system documentation; the Organization must have a Management System demonstrated by the presence of the following documents:
  - According to the applicable certification scheme, information documented in a controlled form (e.g. Manual and/or Procedures), of the System in force indispensable for the evaluation of the system;
  - General information on the company and on the type of products and/or services affected by the certification
- verification that internal audits and management reviews have been carried out;
- the review of the scope of the Management System
- the review of the legal and regulatory aspects
- the review of the allocation of resources for stage 2 and the related planning.
- Confirmation by the Organization that the resources provided in Stage 2 are sufficient.

The "on-site" Stage1 audit of the management system is carried out at the Client's site(s), with the following purpose:

- analyse the system itself by collecting the necessary information regarding the Client's activities and sites, with the related mandatory aspects (through sampling);
- plan the Stage 2 audit by reviewing the resources provided for carrying out this audit and agreeing with the Client the details of the Stage 2 audit;
- verify that the mandatory documentation of the management system covers the requirements of the reference Document.

At the end of the Stage1 audit, the Client is given a copy of the Stage1 audit report, which also reports any anomalies found including those that could be classified as non-conformities or Observations during the Stage 2 audit.

The client actions to resolve these anomalies (Treatments and Corrective Actions) will be verified during the Stage 2 audit. In the presence of findings deemed particularly significant, in the opinion of the technicians who carried out the audit, the request may be requested. their complete resolution before the Stage 2 audit at the Client. If, in the last case, resolution is not provided, stage 2 cannot be envisaged

The stage 2 audit must be performed no later than 6 months after the stage 1 audit, after this period, phase 1 must be carried out again.

In some cases, (organization with low complexity or small size management systems) stage 2 may be planned consequently to stage 1; in these cases, the client must send at least one week before the start of the stage 1 audit all the documentation required by the verification team.

If the outcome of the stage 1 audit is negative, it cannot continue with the stage 2 audit until the critical issues have been resolved.

**For the ISMS, the results of phase 1 must be documented in writing within the audit report. Before being able to move on to stage 2 it is necessary to submit the stage 1 report to a committee to verify all the conditions necessary to continue the stage 2 audit (competence of the audit team, etc.).**

**The Stage 2 audit:** SV Certification performs the on-site audit.

SV Certification communicates to the Client the names of the auditor in charge, sending the audit plan, of carrying out the Stage 2 audit; the Client can revoke the appointment of such technicians within 3 days, justifying the reasons.

During the initial audit, the client must be able to demonstrate:

- that the management system is adopted and effectively implemented.
  - which is always performed at the client premises, includes verification:
1. the closure of the critical findings that emerged in the phase 1 audit;
  2. information and evidence regarding compliance with all the requirements of the standard or other regulatory document applicable to the management system;
  3. performance monitoring, measurement, reporting and review, with reference to the objectives and fundamental targets of the services themselves;
  4. operational control of client processes;
  5. internal audits and management reviews;
  6. the responsibility of management for client policies;
  7. of the management system and services with reference to the applicable mandatory requirements.
  8. that the information collected during stage 1 has not changed.
  9. that the resources made available by the Organizations are sufficient.

The Stage 2 audit at the Client is carried out, after the Stage 1 audit, in order to verify the correct implementation of the management system.

At the end of the Stage 2 audit, the Client is given a copy of the audit report, which also includes any non-conformities (NC), observations (OSS) and Recommendations (COM) found.

The Client can write down any reservations or observations, regarding the findings expressed by the Auditors, on a special space of the audit report.

In the presence of Non Conformities, the certification process is suspended;

in the case of OSS, the number of which (greater than 8), in the opinion of the audit team is such as to jeopardize the correct functioning of the management system, the certification process is equally suspended.

At the end of the audit, the audit team leaves a report to the client where any anomalies that emerged will also be highlighted, classifying them as follows in the following paragraph.

- **Opening meeting**

The audit starts with the opening meeting whose purposes are detailed in the ISO/IEC 17021-1 standard; in particular, it is considered useful here to share the following purposes:

- Present the members of the Audit Team, the participants and their role;
- Present the purposes and rules of conducting the audit, the rules for classifying anomalies and the outcome of the audit;
- Establish the official communication lines between the Audit team and the client organization requesting the audit and identify a manager to contact during the audit in case of disputes;
- Clarify any doubts and establish a climate of mutual trust.

- **Conduct of the Audit**

The Audit Team then proceeds to assess the effective application and compliance of the Management System applied to the requirements of the reference standards and the System documentation.

The Organization is required to make the System documentation and information and records that demonstrate its application available to the Audit Team and to collaborate during the audit activities.

At the end of the activities, the Audit Team meets for the evaluation of the recorded findings, their classification and for the preparation of the Initial Audit Report.

- **Closing meeting**

The audit ends with the closing meeting whose purposes are detailed in the ISO/IEC 17021-1 standard; in particular, it is considered useful here to share the following purposes:

- Presentation of the audit results and any non-conformities and observations that emerged. In the event of divergent opinions about the audit conclusions, the client is entitled to register them and bring them to the attention of SV Certification;
- Description of the continuation of the certification process;
- Distributes reports to the Organization. The relationship is owned by SV Certification which authorizes its use according to the established contractual requirements.

- **Respite classification**

The findings found during the audits are classified as follows:

➤ **Non Conformity:**

Failure to satisfy a requirement of the standard that could influence the ability of the management system to achieve the expected results.

A situation likely to cause a serious deficiency of the management system, or to reduce its ability to ensure compliance with applicable legislation. It must also relate to the inability of individual processes or the management system to achieve its operational objectives.

Number of observations associated with the same requirement which could highlight a systemic weakness

The NC must be verified and closed by SV Certification to judge the system as compliant and recommend the issuance of the certificate and/or consider a certificate already issued valid. Resolution includes the following steps:

- Within 3 (three) weeks from the audit date, the Organization defines the Corrective Actions to resolve the NC and sends them in writing to SV Certification;
- SV Certification verifies and approves the proposed Corrective Actions;
- Within 90 (ninety) days from the audit date, the Organization implements the Corrective Actions and SV Certification verifies, with a non-conformity closure audit, the closure of the NC and the effective application of the Corrective Actions.

About Non-Conformities, the envisaged Closing Audit must take place within the deadline agreed with the Lead Auditor, however within 90 (ninety) days from the closure of the audit.

In the event that the Organization, already in possession of an SV Certification certificate for the same certification scheme subject to the Non-Conformity, is unable to comply with this term, the suspension of the certificate is necessary.

In the event that it is not possible to verify the implementation of the corrections and corrective actions within 6 months from the closing date of the Stage 2 audit (Initial Audit), it is necessary to conduct a second Stage 2 audit.

The closure audit of the Non-Conformities must normally be performed on-site in order to be able to verify the closure and the effectiveness of the Corrective Actions and therefore close or downgrade the Non-Conformity to Observation or Recommendation. In exceptional and adequately motivated cases, the closure audit of the Non Conformities can be carried out off-site as a document review; this may be applicable when the Lead Auditor believes that the documentary evidence is sufficient to close the Non Conformity.

➤ **Observation:**

Failure to satisfy a requirement which is not such as to reduce the management system's ability to achieve the expected results.

For Observations, Corrective Actions and the corresponding adaptation plan must be verified and approved by SV Certification.

This is necessary to judge the system as compliant and to recommend the issue of the certificate or to consider a certificate already issued valid.

Resolution includes the following steps:

- Within 10 (ten) days from the audit date, the Organization defines and plans the Corrective Actions to resolve the OSS and sends them in writing to SV Certification;

- SV Certification verifies and approves the proposed Corrective Actions;
- The Organization implements the Corrective Actions within the defined times and SV Certification assesses their closure and effectiveness during the next planned audit.

➤ **Recommendation:**

A situation detected during the Audit that can provide ideas for an improvement in the Management System.

The recommendations do not affect the system's judgment of conformity, or the recommendation for the issue of the certificate and/or the continued validity of a certificate already issued;

Any COM resolutions in any case provide for the following steps:

- The Organization implements the actions defined to resolve the anomalies within the next audit;
- SV Certification evaluates the implementation and effectiveness of the actions in subsequent audits and, if the evaluation is positive, the Recommendation is closed; otherwise the Recommendation remains open as such (unless the situation has degenerated into a situation of Non-Conformity or Observation).

**- Decision Making**

The Committee of Approval can be made up of a single member or different members, according to the needs and the necessary skills.

When the certification audit is ended, the Lead Auditor sends all the documentation to SV Certification.

Upon completion of the assessments (of Stage 2) and after evaluation and decision of the appropriate Committee of Approval (CoA), a Certificate of Conformity with a three-year validity is issued for the management system in question.

The validity of the certificate is, however, subject, in addition to the continuation of the contractual relationship with SV Certification, to the positive result of the subsequent ordinary/extraordinary surveillance audits and to the three-year renewal performed on the Organization's management system.

The validity of the certificate is also subject to the payment of the fees relating to the audit activities carried out.

Following the positive outcome of the recertification audit and the related resolution activity by the committee in charge, the certificate is reissued. Failure to perform this activity, as well as failure to send and/or fail to implement Corrective Actions by the expiry date of the certificate, result in the loss of validity of the certificate and the termination of the contract with SV Certification, with consequent need to restart the certification process from scratch.

If the Committee of Approval deliberates negatively, an additional verification is carried out no later than 4 (four) months from the resolution of the committee. If, following this verification, the resolution by the committee is negative, a new certification will be carried out (Stage 1 and Stage 2).

During its assessment activity, the CoA may request clarifications, variations or additions to the activities carried out in order to comply with the requirements defined by the accreditation body. Failure to provide the additional necessary information could make it impossible to issue the certificate.

If, in stage 2, 5 (five) or more non-conformities are found, a Follow-Up check is carried out within 4 (four) months from the stage 2 check. If, following this check, the resolution by the of the negative committee, we will proceed with a new certification (Stage 1 and Stage 2).

Certification can be granted only in the absence of non-conformity; in case of non-conformities detected during the audit, the certification can be granted only at the complete closure of the same. Following the positive resolution, SV Certification issues the certificate of conformity.

The certificate is valid for 3 years from the date of resolution and will contain the following data:

- certified organization Name
- Headquarters address
- Operative office(s) address
- Reference standard
- EA sector
- Scope
- Certificate number
- Date of first issue
- Current issue date
- Expiration date
- Statement of Applicability (when certification according to the ISO / IEC 27001 standard)

The data relating to the certificates issued are reported in the register of certified organizations on the website [www.svcertification.com](http://www.svcertification.com).

#### **4. Surveillance Audit**

The purpose of surveillance audits is to verify the maintenance of the certified management system and to effectively resolve any Non Conformities, Observations, Recommendations found in previous audits.

The Client is required to promptly inform SV Certification, which will evaluate the actions to be taken, in relation to any findings, observations or reports received from the national or local authorities in charge of the checks (e.g. civil and criminal sanctions relating to the activity covered by the certification).

Surveillance audits can have quarterly and/or semi-annual and/or annual and/or other intervals (depending on the size, the risk class of the client, the results of the audit, the conclusions of the board of directors).

During this audit, a sample assessment is carried out on the management system.

The audits cover the elements of the system indicated in a specific "Audit Program" delivered by the Lead Auditor at the end of the initial certification process or periodic review of the system or whenever it is necessary to update it.

Surveillance audits are conducted at the Client's site(s). The description of the activities and provisions for conducting the surveillance audit at the site(s) are detailed in the audit plan,

which SV Certification sends to the Client at least 5 days before carrying out the audit itself.

SV Certification also reserves the right to carry out additional/additional audits with respect to what is foreseen, announced or unannounced, at the Client:

- In the event that complaints or reports are received, deemed significant, relating to the non-conformity of the Client's management system with the requirements of the reference Document and these Regulations;
- In relation to changes that have occurred to the Client's Organization;
- If the certification has been suspended.

In case of refusal, without valid reasons by the Client, SV Certification can start the process of suspension of the certification.

In the event that complaints and reports are deemed justified by SV Certification, the cost of carrying out the additional/additional audit is borne by the Client.

In each audit will always be checked:

- Closing of NC and OSS detected in the previous audit
- Internal audits and management review
- Handling of complaints
- Operational control of processes
- Any changes that may have occurred
- monitoring, measuring, recording and reviewing performance against the objectives set
- Use of trademarks

Surveillance audits take place in the same way as for stage 2 of the certification audits.

The validity of the certificate of conformity is confirmed, following the positive outcome of the surveillance audit and following the decision of the Committee of Approval (CoA).

In the presence of non-conformities or observations whose number in the opinion of the audit team is such as to jeopardize the correct functioning of the management system, the Client Organization is subjected to an additional audit within the times established by SV Certification in accordance with the audit team, in relation to the importance of the non-conformities/observations themselves and, in any case, no later than three months from the end of the surveillance audit.

If the non-conformities/observations are not resolved within the established times or if the detected non-conformities are such as not to ensure the control of the activities and/or the requirements of the reference Document, SV Certification can suspend the certification until the non-conformities. The observations themselves have not been corrected and the corrective actions assessed for effectiveness.

First surveillance audit will be compulsorily scheduled within 12 months from the certification decision.

Second surveillance audit date will be scheduled within 24 months of the certification decision, with a tolerance of approximately 2 months

Surveillance audits must in any case be carried out at least once a year (calendar year) except in the years of recertification.

The execution of the surveillance audits provided for in the program is subject to the condition that the Organization is in compliance with the payments relating to previous activities. Otherwise, SV Certification reserves the right not to complete the planned activities and suspends the Certificate of Conformity.

## 5. Recertification Audit

If the Organization has not submitted a cancellation within the deadline, SV Certification plans the renewal audit (Recertification) after 33 months from the certification resolution and, at the latest, one month before the expiry of the certificate, so as to provide for the renewal within the scheduled time.

The certification renewal audit assesses compliance with any points of the applicable standard, takes into account the performance of the management system during the certification period and includes the review of previous surveillance audit reports.

If the organization does not intend to proceed with the recertification of the certification, it must give written communication within 4 months from the expiry date, in the absence of said communication, the organization tacitly accepts the renewal of the certification.

If the organization does not communicate its intention to withdraw from the certification contract within the time periods indicated above, SV Certification will charge a penalty equal to 30% of the recertification cost.

Recertification audits take place in the same way as for phase 2 of the certification audits

An increase in audit times may be expected if significant changes have occurred in the management system, in the organization or in the context in which the management system operates

The purpose is to confirm the continuous compliance and effectiveness of the management system.

Before proceeding with the planning of the recertification audit activity, SV Certification analyses the information received in order to verify that all the general requirements for certification are maintained by the company.

SV Certification will appoint the Evaluation Team Leader who will also be responsible for examining the documentation of the company's management system, proposing a verification planning date, this date will be sent to the organization through the audit plan. The organization must return the accepted document or indicate any reasons for a postponement, within 5 working days from the date of receipt. SV Certification received the motivation will arrange with the Team Leader to plan a new date.

Recertification audit is issued following the positive result of the Audit and a complete review of the system documentation, for which the company must provide a copy of the documentation relating to the quality management system;

During the recertification audit, the following were verified:

- the permanence of compliance and effectiveness of the certified management system with regulatory requirements and system documentation,
- the implementation of any corrective actions relating to non-conformities that emerged from previous audits
- the effective implementation of any corrective actions relating to improvement observations that emerged from previous Audits,
- the use of the brand and the certificate
- complaints management.

Even in the Recertification Audit, situations as indicated in the surveillance may occur, the procedure is similar according to the cases that the Audit team encounters during the Audits.

The execution of the recertification audits provided for by the program is subject to the condition that the Organization is in compliance with the payments relating to previous activities. Otherwise, SV Certification reserves the right not to complete the planned activities and suspends the Certificate of Conformity.

Before the Audit SV certification checks if there are contractual changes and in this case it sends the Organization the new conditions regarding the next three-year certification, otherwise the previous contract is automatically renewed.

In the event that changes have occurred in the Organization (e.g. no. Employees, sites, scope) or the applicable accreditation or certification standards, the new conditions regarding the technical and economic aspects will be specified. Upon receipt of the Organization's acceptance of the technical-economic proposal, SV Certification proceeds to carry out the periodic review audit of the system.

### - Publication of certificates

The valid certificates are entered and published on the website [www.svcertification.com](http://www.svcertification.com). SNAS also has a public website [www.snas.sk](http://www.snas.sk), where the Certificates issued under this accreditation are visible and updated periodically.

## 6. Audit with short or without notice. Special audits

SV Certification reserves the right to perform unscheduled audits on the certified Organization, with short or without notice, to verify that the certified system is properly applied and maintained and that all certification conditions are met.

These audits are generally carried out in the event that SV Certification has valid reasons for requesting them:

- reports have been received from the market
- there are serious deficiencies in the management system
- at the request of the Accreditation Body

Short notice audits are scheduled for a minimum of 5 days in advance. The Organization cannot refuse the Audit team sent for verification.

SV Certification in response to a request for extension of the scope of a certification already issued (when this occurs before or after the surveillance or renewal audit), must undertake an examination of the application and establish the audit activities necessary to decide whether extension may or may not be granted.

Details about the audit will be agreed between the Organization and SV Certification. The rates normally applied for short or unannounced audits are calculated on the basis of the time required and the hourly rate in force (excluding expenses that are re-invoiced according to the provisions of the existing contract).

The client agrees to:

- immediately notify SV Certification of all irregular situations detected by the supervisory authorities, as well as any suspensions or revocations of authorizations, concessions, etc., relating to legal aspects and related to the subject of the certification
- immediately notify SV Certification of any ongoing legal proceedings concerning the subject of the certification, without prejudice to the limits imposed by law,

- immediately notify SV Certification of any incidents that have required the intervention of external bodies for the response and/or that have resulted in communications to public authorities,
- keep SV Certification informed of developments in the aforementioned procedures.

In relation to the above, SV Certification may perform extraordinary/additional control visits and possibly adopt suspension/revocation measures of the certificate of conformity, based on the seriousness and impact of the event that occurred.

#### ❖ Audit with suppliers (outsourcing)

To verify the effectiveness of the Organization's business Management System, it may be necessary to conduct audits with suppliers (as part of the Initial Audit and/or the Periodic Maintenance Audits and/or the Re-Certification Audit), when some Organization processes are, outsourced (Outsourcing).

These audits, previously agreed upon, may be carried out especially in cases where, in the opinion of the Lead Auditor, the influence of the products/processes of the supplier on the conformity of the product and/or service of the Organization is significant and the supplier is not certified in according to the regulations of the Management System by an Accredited Body or adequately controlled by the Organization.

The supplier must allow access to all registrations/processes/news regarding the creation and control of the products or services related to the Organization certified by SV Certification in accordance with the regulations of the Management System.

#### ❖ Changes to the scope of certification

During the period of validity of the certification, the Organization may request changes to the scope of the certificate (e.g. modification or extension of the products or services; change of the reference legislation; increase, decrease, movement of the production units covered by the certification);

in these cases, the Organization is required to make a written request to SV Certification which, based on the information received, assesses whether the changes require additional audits and relative review of the contractual terms and informs the Organization accordingly.

In the event of a positive outcome of the audit activities and subsequent approval by the Technical Function, the certificate of conformity is reissued.

During its assessment activity, the CoA may request clarifications, variations or additions to the activities carried out in order to comply with the requirements defined by the accreditation body.

Failure to provide the additional necessary information could make it impossible to issue the revised certificate.

In case of extension or reduction of the scope, the duration of the audit times will be changed. The same will be commensurate with the extent of the change;

If the reduction, extension or modification of the purpose occurs during the surveillance verification and renewal, the increase in audit times cannot be less than 0.5 man/days;

If, however, it is requested that the reduction, extension or modification of the purpose take place before or after the surveillance or renewal audit, the audit cannot have a duration of less than 1 man/day

#### ❖ Audit with the Accreditation Body

In order to ascertain that the assessment methods adopted by SV Certification comply with the reference accreditation standards, the Accreditation Body (SNAS, etc.), guarantor of the certifications, may request the participation of its personnel, as observers, in the SV Certification audit.

The Organization must allow the Audit Team appointed by the Accreditation Body to access the site and to verify the activities in the field of the SV Certification Audit Team.

This is in relation to the rules in force for accreditation (for example EA, European co-operation for Accreditation, and IAF, International Accreditation Forum, under the MLA, Multilateral Recognition Arrangement agreements).

If the Organization refuses to allow access to the Audit Team appointed by the Accreditation Body, SV Certification will be able to proceed with the withdrawal of the certificate.

### 7. CERTIFICATION OF A MULTI-SITE ORGANIZATION MANAGEMENT SYSTEM

A multi-site organization is an organization covered by a single management system comprising an identified central function (not necessarily the headquarters of the organization) to which certain processes/activities are planned and controlled, and a certain number of sites (permanent, temporary or virtual) in which these processes/activities are fully or partially carried out.

A multi-site organization need not be a single legal entity, but all sites must have a legal or contractual link with the central function of the organization and be subject to a single management system, which is defined, established, subject to continuous surveillance and internal audits by the central function. This means that the central function has the rights to request that the sites implement corrective actions when necessary on any site.

Where applicable, it should be indicated in the formal agreement between the central function and the sites.

The audit times may vary and/or increase when there is a multi-site organization according to the provisions of IAF MD 1:2018 and MD 22:2018.

### 8. Suspension, renewal, restoration, revocation, renunciation, extension or reduction of the purpose

SV Certification can suspend the validity of the certificate in all cases in which you have irrefutable information such that you have reason to believe the organization's certified management system no longer meets the requirements of the reference Document and in the following cases:

- a) absence of compliance by the Client Organization with changes to these Regulations or Documentation communicated by SV Certification;
- b) failure to accept periodic (quarterly or half-yearly or annual) or supplementary (additional) visits required by SV Certification;
- c) failure to communicate any changes to the Client's organization;
- d) absence of communication about the existence of convictions, legal proceedings, complaints or disputes, concerning the scope of the management system;
- e) failure by the Client to pay the remuneration due to SV Certification, in the terms established by the contract and by these Regulations;
- f) failure to eliminate the causes that led to the suspension of the Certificate of conformity within the term communicated by SV Certification;

- g) cessation of the Client's activities subject to certification or suspension of the same for a period of more than 12 months;
- h) condemnation of the Client for facts concerning the failure to comply with the mandatory requirements of the management system.

The suspension of certification and the possible restoration are communicated to the organization through PEC.

During the suspension period, the Client cannot make use of the Certificate or take advantage of the quality of certified Organization and must bring the suspension of certification to the knowledge of interested third parties with suitable means.

The suspension of the certification will be communicated by SV Certification to any Accreditation Bodies.

In case of revocation/cancellation of the certification, the Client must return the Certificate of conformity within 15 days of the communication of revocation/cancellation by SV Certification. The client's name will also be indicated on the website [www.svcertification.com](http://www.svcertification.com).

The suspension must not exceed six months.

The restoration of the certificate, in case of suspension, is possible only when the organization is able to demonstrate the complete resolution of the cause that led to the suspension within the aforementioned terms.

If the cause of the suspension of the certification is not resolved within the deadline, SV Certification orders the cancellation/withdrawal of the certificate.

The withdrawal is also foreseen in case of renunciation of certification by the organization.

Certification can be revoked in case of:

- a. Serious failure to comply with the commitments made by the Client;
- b. Failure to pay the amounts due, in any capacity, to SV Certification. In this case, before proceeding with the revocation, SV Certification will send to the organization a notice of revocation of the certificate; after 15 (fifteen) days from such communication without the organization having paid the amounts due, the certificate is revoked.
- c. Bankruptcy or cessation of the Organization's activity;
- d. Serious irregularities or abuses in the use of the certificate and/or trademark;
- e. condemnation of the Organization for failure to comply with mandatory requirements of the Management System or the product /service provided;
- f. failure by the Organization to adapt to regulatory and/or regulatory changes.

The revocation decision is communicated to the Organization by PEC.

In the event of revocation of the certification, the organization undertakes:

- a) no longer use the certificate (s) obtained and the marks;
- b) return the certificate(s) within 15 days of its communication;
- c) eliminate the marks, as well as all references to certification, from letterheads, from all documents.

Following the revocation of the certificate, if the Organization intends to continue the certification process, it will have to carry out a new certification (stage 1 + stage 2).

In the event of a negative outcome of the certification process, SV Certification will not issue the certificate, giving motivated communication to the Client.

The certificate is cancelled and withdrawn if:

- the Organization does not intend to continue to maintain certification and will confirm this in writing.
- The certificate is cancelled and withdrawn in case of legal action.
- The certificate is cancelled and withdrawn if the certification is not renewed within the term of the three-year validity.

The cancellation and withdrawal of the certificate is officially notified to the Organization by PEC or other equivalent means. From the date of receipt of the communication, the Organization is no longer required to use the certificate, the certification mark and any other documentation certifying its certification.

In case of cancellation and withdrawal of the certificate, the Organization must return the old certificates at its own expense.

In the event of an expired certificate, the Organization must activate a new certification process aware of the fact that, between the expiry period and the issue of the new certificate, it cannot make use of any certification.

The organization can request the extension or reduction of the field of application of the certificate to include or not new types of products/services, new offices or production plants, new activities/processes, requirements previously and reasonably excluded and subsequently managed within the scope of the certified management system. In this case, the procedure to be followed is identical to that of the initial request.

Following the granting of the extension or reduction, the certificate is updated and reissued with the new field of application and sent to the organization; the previous one must be returned by the organization to SV Certification.

The deliberation committee examines all cases of extension. The deliberation activity covers the whole spectrum of decision-making possibilities: granting, maintaining, renewing, reducing, revoking, suspending and extending the certification.

#### • RENUMCIATION OF CERTIFICATION

The Organization can renounce the certification:

- a. in the cases of withdrawal contemplated in the contract;
- b. when you do not intend to adapt to the change in the reference standards or the requirements applicable to the certification activity;
- c. when you do not accept the changes made to these Regulations;
- d. when you do not accept the change in tariffs;

In case of renunciation or revocation of the accreditation to SV Certification for the certification scheme and for the EA sector to which the certification refers, the communication must take place via PEC at the following address: xxxxxxxxxxxxxx

In the event of renunciation of certification, the Organization undertakes to:

- I. not to use the certificate(s) and trademarks, also returning the certificate(s) to SV Certification;
- II. eliminate the certification marks from the letterhead and all documents, as well as any reference to the same;
- III. balance all amounts due to SV Certification

SV Certification, in turn, provides for:

- stop the surveillance/recertification activity;
- delete the Organization certification from the registers.

## 9. Transfer of Certification

The certification transfer is defined as the recognition of an existing and valid management system certification, issued by an accredited certification body and accepted by another accredited certification body, for the purpose of issuing one's certification.

For the transfer of certification from another accredited body in the context of international mutual recognition, the provisions of the IAF MD2 document apply.

Before making a certification decision, SV Certification performs a documentary "PRE-TRANSFER REVIEW" and verifies that the applicant organization meets the following conditions:

- has an accredited valid certificate issued by a Certification Body signatory of the IAF / MLA mutual recognition agreements
- that all the reports of the entire certification cycle are present
- that the organization has no ongoing legal proceedings
- that any complaints received from clients are taken into consideration
- that the certification body that issued the certificate has not stopped the activity or is suspended
- the reasons for the request for the transfer

Upon a positive outcome of the review, the certificate will be issued through the normal resolution procedure.

The certificate issued will report the first issue date issued by the previous institution, the current date coinciding with the resolution, the expiry date equal to the expiry date of the previous certificate.

Please note that the transfer activity can never coincide with the renewal surveillance audits.

Only a valid accredited certification can be transferred. A notoriously suspended certification cannot be accepted for transfer.

SV Certification must request the necessary documentation (Reports, check-list, closure of non-conformities, etc.) relating to the verification(s) already carried out in the last three years (if the transfer takes place during the surveillance, all documentation is required until then obtained), with the previous accredited certification body.

The document review must include at least the following aspects:

- Confirmation that the Client's certification falls within the scope of the accredited issuing and accepting certification body.
- Confirmation that the purpose of the accredited issuing certification body falls within the scope of SV Certification.
- The reasons why the transfer of the certification to SV Certification is requested.
- The site or sites for which you want to transfer the certification have a valid and accredited certificate.
- Sending the initial certification documentation or the most recent recertification audit reports and checklists and the latest surveillance report and checklist; The status of all non-conformities and Observations (survey, treatment, closure, etc.). If audit reports and

checklists are not made available to SV Certification, they are not available or if the surveillance audit or recertification audit has not been performed and completed as required by the institution's audit program accredited issuer certification, then SV Certification will treat the organization as a new client;

- Complaints received and actions taken.
- Relevant considerations for establishing and compiling an audit plan and program. SV Certification can review the audit program if it is made available.
- Any ongoing commitment by the transferring client with regulatory bodies relevant to the purpose of certification in accordance with the law.

NOTE: the "PRE-TRANSFER REVIEW" is not an audit.

SV Certification does not issue the certification to the transferring Client until:

- verified the implementation of corrections and corrective actions of all outstanding main non-conformities;
- accepted the corrective action plans and the related treatment of all outstanding comments (Observations) of the transferring client.

When the "PRE-TRANSFER REVIEW" (document review and/or pre-transfer visit) identifies problems that prevent the completion of the transfer, SV Certification treats the Client as a new Client.

SV Certification will explain the motivation for this action in a documented way.

The certification decision-making process will take place according to ISO/IEC 17021-1: 2015 point 9.5. The member (s) who makes the certification decision is/are different from the one who performs the "PRE-TRANSFER REVIEW".

If no problems are detected in the "PRE-TRANSFER REVIEW", the certification cycle must be based on the previous certification cycle and SV Certification establishes the audit program for the rest of the certification cycle.

NOTE: SV Certification can cite the organization's initial certification given on the certification documents indicating that the organization was certified by a different accredited certification body before a certain date.

If SV Certification had to treat the organization as a new Client following the results of the "PRE-TRANSFER REVIEW", the certification cycle begins with the certification.

The client must authorize the issuing certification body to release the information required by SV Certification. The issuing certification body cannot and must not suspend or withdraw the certification, if the client continues to meet the certification requirements of the organization after the transfer notification.

SV Certification and/or the transferring client must contact the accreditation body for which the certification body has requested accreditation (SNAS, etc...) when:

- the issuing certification body has not provided the information required by SV Certification;
- the issuing certification body withdraws the certificate without a just cause.

When the non-conformities are not closed, SV Certification proceeds with a pre-transfer visit. The visit can be carried out by one or more people. The pre-transfer visit is not an audit.

If SV Certification does not have all the necessary documentation for the pre-transfer review, it cannot proceed to issue the certificate.

Only certificates issued under accreditation in the IAF (International Accreditation Forum) or EA can be transferred.

In the event of a request to transfer the certification from a non-accredited Body (in general or in the product sector of the certificate in question), a complete audit and certification procedure is applied (STAGE 1 + STAGE 2).

Only valid certificates can be transferred;

Suspended certificates cannot be transferred.

Certificates issued by Certification Bodies that have ceased their activity or whose accreditation status has expired or suspended or withdrawn can be transferred (issue of a new certificate by SV Certification) within 6 months of the event or within expiry.

Before the transfer, SV Certification will inform the Body under whose accreditation it will issue the certificate.

## 10. Confidentiality

SV Certification ensures complete confidentiality on the information received and on the assessments expressed by its staff and service providers.

All documents (documentation, letters, communications, etc.) relating to the Organization's Management System Certification activities are considered confidential and are therefore managed in accordance with the current laws on the protection of privacy.

SV Certification employees and service providers sign and are required to ensure their commitment not to disclose to third parties, unless following written authorization from the Organization, any information collected during the audit activities, unless requested by the Accreditation Body and/or Competent Authorities.

Access and consultation to the registration documents is reserved only to the functions involved in the certification process and to the Organization in question, as well as to the Representatives of the accreditation and control bodies.

In the event that information relating to the Client's Organization must be disclosed due to legal obligations, SV Certification will notify the Client thereof.

SV Certification will not be responsible for any damage caused to the Client due to false or incomplete information or any omissions made in the documents, by any person external to SV Certification.

## 11. Concession and Use of the Trademark

Once the audit process has been successfully completed and the relative certificate issued, the Organization is explicitly granted written authorization to use the system certification mark and the certificate, in compliance with these Regulations and the Regulations and use of the certification mark.

The trademark is the exclusive property of SV Certification and its use is prohibited without explicit authorization (which coincides with the letter of dispatch of the certificate), or if the certificate is withdrawn, as contractually foreseen.

The use of brands:

- must refer exclusively to the certification services involved in the checks carried out by SV Certification itself and to which the certifications issued by the same refer.
- cannot be transferred in any way to third parties by the Client.
- only for the period of validity of the certification issued by SV Certification.

If, for any reason, the certification is suspended, revoked, or in any case ceases, even temporarily, its effectiveness, the Client must immediately stop any use of the trademarks.

The SV Certification marks can be reproduced in real size or even larger or smaller than them, provided that their proportions are respected and legibility is ensured.

Partial reproduction of trademarks is not allowed.

The certification certificates issued by SV Certification may also be reproduced under the same conditions as provided for in these regulations, provided they are in full and legible form.

For any violation of the rules on the use of trademarks contained in this Document, in contracts or in the further applicable discipline, the Client must pay SV Certification a penalty equal to € 10.000 (ten thousand).

The right for SV Certification to request compensation for any further damage in any capacity whatsoever, subject to the Client's improper use of the trademarks, is reserved.

SV Certification reserves the right to carry out the checks deemed most appropriate in order to ascertain that the brands are used in compliance with the provisions of these Regulations and the Regulations and use of the certification mark and any other applicable regulation, also by requesting the Client to exhibit of documentation such as catalogues, packaging, letterhead, etc....

The unjustified refusal by the Client to exhibit what is required by SV Certification entails the application of the provisions of the following paragraph.

In case of violation of the provisions contained in the previous points, SV Certification will have the right to terminate the contract for the provision of services.

The Client is allowed to insert the wording "Organization with management system certified by SV Certification" on the products or packaging.

In the case of partial certification of company sites, the use of trademarks must make it clear that the certification does not refer to the entire Client Organization.

## 12. Economic conditions

The amounts relating to the activities carried out must be paid to SV Certification as established in the offer accepted by the Organization.

The fees refer exclusively to the services and never to the results, therefore the amounts relating to the activities carried out are due by the Organization even in the event of failure to issue the certificate due to the absence of conformity requirements, or in the case of renunciation of certification, suspension or revocation.

In the event that the release of the certificate requires additional activities not expressly provided for, an additional fee commensurate with the actual commitment requested and calculated on the basis of the rate indicated in the contract in terms of man/day will be due by the Client.

In addition to the fees provided in the contract, the costs incurred by SV Certification for the verification activities will be borne by the Client at the rate indicated in the contract itself. If the latter does not specify the lump-sum amount of the expenses, they will be reimbursed at the actual cost incurred by SV Certification upon presentation of a copy of the proofs of the expenses charged.

The contract is valid for 3 (three) years from the stipulation and is considered renewed annually, in the absence of written revocation sent 6 (six) months before the expiry. SV Certification can change the certification amount by sending an email notification 6 (six) months before the deadline.

### 13. Complaints, Appeals and Litigation

The *complaint* is the dissatisfaction of the Organization in relation to the administrative and technical aspects of the activities carried out by SV Certification.

The *appeal* is the explicit and documented manifestation of non-acceptance of the decisions taken by SV Certification in the context of the audit activities.

The *dispute* arises from the eventual non-acceptance by the Organization of the decisions communicated against the appeals. Within 15 days of receiving the complaint, SV Certification informs the complainant that he has received the complaint.

In the case of a founded complaint, SV Certification will process the data by analysing the facts described, the recordings, the behaviour of the auditors, etc.

Based on these analyses, SV Certification will correct the event and, when the causes are known, will open an action.

The complaint will be managed by the Quality Manager within 15 days from the sending of the complaint itself and the outcome of the management will be communicated by the Quality Manager to the interested party.

The Organization can appeal against SV Certification decisions, setting out the reasons for the dissent, within 30 days from the date of notification of the decision.

The appeal must be addressed to the SV Certification office.

SV Certification examines the appeal, within 20 days of its presentation, possibly hearing the representatives of the Organization;

The person examining and the people involved in the analysis of the appeal must not have been previously involved in the subject matter of the appeal.

SV Certification will send the applicant reports on the progress and results of the appeal.

SV Certification will formally inform the complainant of the end of the appeal management process.

Any expenses relating to the appeal remain at the expense of the Organization except in cases of recognized merit.

Any person or organization can submit complaints to SV Certification, in reference to its activities or activities carried out by bodies placed under certification by SV Certification.

The complaint can be sent by PEC, e-mail and must contain:

- the details of the subject presenting the complaint;
- detailed description of events, facts, reasons that are the subject of the complaint.

The certified organization is required to keep a record of all complaints and all appeals received (relating to each product or service that falls within the scope of the certificate) and of the corrective actions taken for their effective management and to make these available registrations to SV Certification on request.

Furthermore, if the certificate falls into one of the schemes and/or sectors for which SV Certification is accredited, these documents must be kept available for any audit by an authorized representative of the Accreditation Body.

### 14. Coronavirus Covid-19 emergency

To ensure the safety of its auditors and clients, SV Certification has adopted specific procedures both for emergency management in accordance with IAF ID 03 document "Management of Extraordinary Events or Circumstances Affecting ABs", CABs and Certified Organizations ", and for remote audit management in accordance with IAF MD 04 Use of Information and Communication Technology (ICT) for Auditing / Assessment Purposes and IAF ID 12: 2015.

*Termini e condizioni per la certificazione dei sistemi di gestione*

Errore. Nome della proprietà del documento sconosciuto.