099 Procedure Certification procedures

Table of content

1. Purpose

This procedure instruction regulates the responsibilities and the procedures for the certification of management systems, which are determined according to the scope of DIN EN ISO/IEC 17021-1:2015.
The procedure of internal processes at the certification body is described in the process description “099 VA certification flow chart” (099 VA Zertifizierungsablauf”).

2. Scope

This procedure instruction applies to all personnel of the certification body and branch offices of TÜV Thüringen e.V., which are involved in the auditing and certification activities according to the branch office specific rules for each branch office as well as to the appointed auditors of the certification body.
Deviations from the regulations in these procedural instructions are possible due to special unforeseeable social events of magnitude such as pandemics. The resulting changes to processes / deadlines are regulated separately and are not included in these procedural instructions.

Additional area specific regulations can be found in Annex 1 to this procedure instruction – see other applicable documents.

3. Responsibilities

3.1 Head of the certification body

- For selection and appointment of auditors
- For the inspection of the certification procedure regarding the content and compliance of the procedural regulations
- For the approval and issuance of the certificate
- Definition of further responsibilities and delegation of tasks

3.2 Branch offices

In the notified branch offices of the certification body some tasks of the audit and certification process, which were determined by the certification body, can be performed autonomously.
Respective regulations concerning the branch offices are described in the branch office specific regulations (procedures, work instructions) as well as in “099 VA Ausgliederung” (outsourcing procedure instruction).

3.3 Auditors / Lead-auditors / technical experts

Auditors are responsible for:
- Inspection and evaluation of the documented information on the management system of the customer,
- Inspection and evaluation of the applied management system in praxis (during the audit): preparation of necessary proof documents

The lead-auditor is responsible for the following tasks within the audit team:
- Overall responsibility for the audit
- Audit planning and coordination of dates with the customer/client
- Creation of the audit plan
- Leading of interviews in the audit
- Preparation of the audit documentation in coordination with the audit team
- Documentation of audit results
- Decision about the issuance of nonconformities in coordination with the audit team
- Decision about the performance of a re-audit or audit termination

The technical expert is responsible in the audit team for following tasks:

- support of the audit team in the audit regarding subject-specific questions
- preparation of a technical expert report or expert input for the audit report forwarded to the lead auditor

4. Preparation for the certification

4.1 Inspection and acceptance of the application for certification

The applicant organization transmits in the customer questionnaire all information which is necessary for the application to the certification body.

Before accepting the application and prior to offer or audit programme preparation, the appointed person of the certification body checks on the basis of the filled out questionnaire and eventually clarifications with the applicant organization as well as documents whether a scope-competent audit team and necessary competence for certification decision after performance of the audit are given. This check must be done according to available schemes of the certification body. In case of any restriction a note in the application evaluation must be done.

Should the application be rejected and no offer for certification can be sent to the applicant organization, so the reasons for rejection must be recorded by the certification body and the applicant organization must be informed about it.

After the feasibility of the audit and the certification process was checked and documented the audit programme must be prepared.

4.2 Development of the audit programme

The audit programme contains the two-stage initial audit, surveillance audits in the first and second years as well as a re-certification audit in the third year before the expiration of the certification. The first three-year certification cycle begins with the decision for a certification or a re-certification. Subsequent cycles begin with the re-certification decision.
If the triannual certification cycle is not given e.g. by a takeover of certified companies, the audit programme must be adapted with regard to validity dates and content. Refer in this case to procedural instructions “099 VA transfer of accredited certification” (“099 VA Übertragung akkreditierter Zertifizierungen”).

Instructions for creating of the audit program for companies with several branch offices can be found in “099 VA Zertifizierung Verbund” (procedure for multi-site certification).
Instructions for creating of the audit program for companies with integrated management systems can be found in “099 VA certification IMS” (integrated management systems).

For the single audits mentioned in the audit programme as well as for each further necessary audit a separate audit plan must be prepared.

Following conditions of the applicant organization must be considered among others during creation of the audit programme:

- Size of the organization
- Scope of application / scope of the certification
- Number of employees
- Number and temporal structure of shifts
- Locations and branches which have to be audited
- Existing construction sites or projects which have to be checked on-site in compliance with the scope
- Complexity of the management system, e.g. integrated management system
- Complexity of processes, sensitivity or risk of products and services
- Outsourced activities
- Language of the customer organization and of the audit team
- Results of former audits
- Customer complaints

With the audit programme the audit objectives and audit extent according to the calculation will be determined.

The audit programme for the triannual certification cycle consists of following documents and will be documented in the offer for the triannual certification cycle and additionally for re-certification:

- Calculation explanations and calculations (CA, 1st and 2nd surveillance audits and re-certification audit) according to the standard specific determinations
- Sample chart for organizations with several sites

Taking into consideration the valid standard specific documents or calculation guidelines, the calculation must be made by a notified and competent person of the certification body / of the branch office.
The competence for the group of people who are authorized to examine the application/ approve calculations can be seen in the competence matrix at the certification body. If the technical expert is required in the audit, it does not affect the reduction of man-days!

The offer will be sent to the applicant organization.

With the written acceptance of the order to the offer the applicant organization confirms that it has accepted the offer.

4.3 Adjustment of the audit programme

If necessary, the audit programme has to be adjusted to eventual changed circumstances of the certified organization during of the certification cycle. The certified organizations are contractually obliged to inform the certification body about all relevant changes in the organizational structure and operational structure as well as in their management system within the preparation for audits (e.g. surveillance audits, extension audits or re-audits).

The certification body checks and confirms with the approval of audit documents that the audit programme is appropriate or eventually makes changes in the audit programme.

The certified organization must be informed about the changed audit programme by writing a new offer with corresponding changes.

5. Execution of the initial certification

The initial certification audit will be performed according to the determinations in ISO 17021-1 in two stages (stage-1 and stage-2 audit). All standard requirements must be checked during this audit.
If the company has several branches (multi-site certification) the defined headquarter of the company must always be audited, see also “099 VA multi-site certification” (“099 VA Zertifizierung Verbund”).

Already certified companies, which added a new standard to their management system, a stage-1 for this new standard must be performed (see 11.1.1 “extension on a new standard”).

5.1 Specification of the audit team

The audit team is determined by the certification body on the basis of the currently valid appointment and scope overviews.

Basic regulations:
- Employment of auditors with a valid appointment for the particular certification field
- If necessary employment of technical experts with valid appointment
- The technical expert must always be accompanied by an auditor.
- The audit team is not allowed to have rendered consultation services at the applicant organization until 2 years before the respective audit
- The customer will be informed about the determined audit team in the order confirmation.

The scope competence in the audit team must be ensured for every audit.
The auditors, which were employed in the stage-1 audit should be employed also in the stage-2 audit. In case of technical specific problems a respective technical expert / specialist can be included in the audit team. This technical expert must be previously appointed by the certification body.

The number of auditors and the required number of man-days for the audit depend on the size of the company and on the complexity of the processes. It is possible that the audit team consists of only one lead auditor. The participation of an auditor with the competence of a lead-auditor is required in all audits.

Within surveillance audits it is possible in exceptional cases that an auditor fulfils the tasks of a lead-auditor, on condition that the auditor:

- was member of the audit team (no trainee-auditor) during the certification audit or re-certification audit **and**
- has audit experience of minimum 5 audits **and**
- has necessary scope and standard competences

5.2 Audit planning

5.2.1 General principles

The members of the audit team receive before the audit the following documents:
- a subcontract with all the necessary information from the audit program on the company to be audited (including norm specific characteristics)
- the customer questionnaire submitted by the company to the certification body for the preparation of an offer
- at least the audit report of the last audit, when re-certification the last two reports of the surveillance audits.

The complete scope must be audited.
If the company has extensive activities then in exceptional cases, after consultation with the certification body it can be decided, that only parts of the scope will be proved in the surveillance audits; but it must be ensured, that the entire scope of the company will be proved until the re-certification audit.

Before audit will be performed, the lead auditor should ask the company for eventually needed personal protective equipment and if necessary for further security measures and forward this information to the audit team.

Seasonal conditions (e.g. grape harvest) as well as industry-specific working times (e.g. cleaning, security guards) must be taken into account.

If shift work is performed, shift handover must be audited.

The orientating company/site tour for the whole audit team must be planned. The company tour must be done by every audit team member, in order to be able to evaluate the location and site-specific conditions of the customer.
It may be necessary in some situations to adapt the conduction of the company tour to the company needs: when the area of the company is very large, then the parts of this area should be divided between the competent auditors and the results should be evaluated and discussed afterward by the auditors together, in condition that this is possible.

Required construction / cleaning sites or sites, where security services will be performed must be audited according to the scope of the company. The focus of the audit planning is, that the activity, which is covered by the scope of the company must be also audited.

Travel time and breaks must be planned and are not part of the audit time.

Documentation:	Audit plan according to the actual template. An audit plan must be prepared for every audit and for every stage of the audit programme.
Basis:	Standard specific requirements (see also audit protocols and regulatory guidelines).
Audit time:	As a rule the audit day lasts 8 hours plus travel time and time for breaks. The audit day with maximum 10 hours auditing time should be an exception. Example: the audit with 3,6 man-days must be planned 3 times for 1 man-day and 0,6 man-days, and not 3 times for 1,2 man-days.
Content of audit plan:	Among others: information about audited organization units / contact person / branches in accordance with offer or subcontract / projects / construction sites /

processes, which must be checked / information about the standard requirements to be audited including chapter / clause or section number / separation of the audit team / travel times and times for breaks:
The times must be written "from" - "until".

Only the relevant standard chapter of the main process must be mentioned, which describes and characterizes the main process. The enumeration of all standard chapters in each organizational unit is not useful and enables no good planning for the company and no optimal evaluation by the certification body.

In case of the integrated management system audit (combined audit) the standard competence of each auditor must be mentioned in the header data.

In case of the integrated management system audit (combined audit) the planned man-days for each standard must be mentioned at the end of the audit plan.

Date of preparation: In an appropriate time before the audit, recommended time: 2 weeks prior to the audit

Distribution: client and members of the audit team

Following must be considered in the audit plan during the audit planning:

- Introductory conversation according to ISO 17021-1 (see “099 F introduction and final conversation”) with introducing of the team and functions, description of the procedure, recording of the participants and their signatures in the participant list
- Auditing for the purpose of the review and evaluation of the efficiency of the management system according to standard specific requirements
- Interim consultations of the audit team for coordination during the course of the audit
- Auditing activities from a distance must be planned and recognizable in the audit plan
- Final discussion by the audit team according to ISO 17021-1 (see “099 F opening and closing meeting”) with a presentation of the audit results, nonconformities, recording of the participants and their signatures in the participant list
- Explanations and agreement about the content of the certificate according to offer and contract

Separation of auditors and calculating of the audit time:

If one audit team is planned for the audit, then the most part of the audit (more than 50% of the total man-days) must be audited separately, if the audit time (for 2 auditors) should be counted double (if there are 3 auditors in the team, then correspondingly more time must be planned). The more man-days are planned, the longer the auditors have to audit separately, in order to be able to count this audit time double. Should the auditors audit less than 50% of the audit time separately, then more audit time on site must be planned.

Example: audit time on-site – 4 man days (1 Auditor x 4 man days) can be spread over 2 Auditors (2 man-days x 2 auditors). The auditors must separate more than 50% of the audit time during these 2 days: e.g. 1,5 days separate auditing and 0,5 days common auditing.

During the separation of auditors it must be secured that for every auditor at least one contact person from the company is available and that the corresponding processes are checked by someone with professional competence.

In case of auditing of the multi-site companies the separation of the auditors to single sites is useful. The necessary professional competence must be ensured in this case on every location.

Introductory conversation, closing meeting, interim consultations of auditors and company / site tour must be conducted together. The audited time from introduction and final conversation, internal evaluation / interim consultations of auditors as well as the company / site tour can be counted for all auditors involved respectively as their audit time.

With parallel examination of one organizational unit by several auditors different projects / documents can be checked or different contact persons be interviewed in parallel. This audit time can be counted for each auditor respectively in case that the separation and the tasks are outlined comprehensibly in the audit plan.

The following has to be considered at the employment of an expert:

During stage-1 audit:
If the lead auditor does not have the professional competence in the business field or risk category, then a technical expert must be used in stage-1 audit.
If necessary, varying standard specific regulations must be considered!

During stage-2 audit:
During the employment of technical experts it must be ensured that the expert participates at the auditing of scope specific processes, in general these are at least the processes about management of resources and product or service realization, what means, that more than 50% of the audit time on-site must be audited scope-competently. The technical expert has to participate in the final discussion.
If the professional competence is absent in the audit team, the participation of a technical expert during the company / site tour is required.

The expert has to report the lead auditor about his own evaluations and to record these evaluations in an expert report (or integrated in the audit report, with visual distinction from the audit report, written by the auditor).

Further standard specific requirements can be found in standard specific regulations in attachment to this procedure.

5.2.2 Audit planning stage-1 and stage-2

During the audit planning of stage-1 and stage-2 audit it has to be considered that the client has enough time to eliminate weak points, which were found in stage-1 audit (see 5.3.1) in time before stage-2 audit will be performed.
If as result of the stage-1 audit necessary changes as time and content changes for the already planned audit stage 2 occur, the planning of stage-2 audit has to be revised and adapted.

Special case a)
A planning of the stage-2 audit together with the stage-1 audit is an exception and only acceptable after the approval of the certification body and under the following conditions:
- small company size up to 5 employees **and**
- simple services or simple production processes

In this case the planning of stage-1 and stage-2 follows integrated in one audit plan without temporary separation between stage-1 and stage-2 audit.
After the audit the audit report for stage-2 and the standard specific annex must be written.

Special case b)
In justified special cases and after approval of the certification body, the stage-2 audit can be performed directly after stage-1 audit (e.g. at a long arrival way to the company). It is absolutely necessary to make the client demonstrably aware that despite of this planning a subsequent shift of stage-2 audit still can happen (e.g. because of found nonconformities during stage-1). The audit plan must be written with a time separation between the stage-1 and stage-2 audit. After the plan for stage-1 a note about possible postponement of the stage-2 audit because of found nonconformities must be written.
After the audit the audit report for stage-2 and the standard specific annex must be written.

5.3 Audit performance

The review of documents forms a part of the stage-1 audit. It serves as determination whether the management documentation meets the requirements of the standard in general; simultaneously the review of the management documentation (documented information) serves the auditor for preparation to the certification audit. The review of management system documents will be documented and will be given to the client as information.
The document review is be finished till beginning of the stage-2 audit.

Minimum contents of stage-1 audit:
- Auditing the documented information on the management system
- Evaluating the client's location and site-specific conditions
- Assessment of the processes and the means of work used (including outsourced processes).
- Fixed steering levels (especially for customers with multiple locations).

- Discussion with the clients' personnel to determinate the readiness for stage-2 audit
- Assessment of client's understanding regarding requirements of the standard, in particular with respect to identification of the key performances, processes and objectives in the company
- Checking of compliance of the scope with regard to the processes and sites compared with the subcontract as well as collecting of information regarding legal and official requirements and their compliance
- Review of allocation of resources for the stage-2 audit
- Coordination about main points of stage-2 audit with the customer
- Evaluation of planning and performance of internal audits and management reviews
- Documentation of nonconformities and remarks to identified weak points for the stage-2 audit
- Documentation of improvement potentials

At the end of stage-1 audit, the lead-auditor evaluates if the company is capable to be certified and informs the company about the evaluation.

- No, not capable to be certified: The audit stage-1 will be completed. The critical or non-critical nonconformities will be documented. The respective corrective measures of the critical non-conformities have to be implemented within 6 months after stage-1 audit, at the latest at the beginning of the stage-2 audit to proceed with the stage-2 audit. The concrete implementation is checked in the audit stage 2 on site. If the verification of the corrective actions of the critical non-conformities by the certification body (Auditor) results that 6 months are not enough for the correction of the nonconformities, then the audit programme has finished and it has to be executed a new stage-1 audit. A beginning of stage-2 audit without prior verified elimination of non-critical or critical nonconformities from the stage-1 audit is not possible.
- Yes, capable to be certified: No critical or non-critical nonconformities were found. The stage-2 audit can be planned and executed according to the audit programme. Insofar as non-critical deviations were found, these can be checked in the stage 2 audit or in the subsequent audit.

The clients' organization receives a report about stage-1 audit including the evaluation of the management system documents.
The certification body will be informed about found deviations to the subcontract/ audit programme by the lead-auditor. If the results of the stage 1 audit do not enable the stage 2 audit to be continued within the 6 month period, the customer will be informed by the certification body.

Minimum contents of stage-2 audit:

- Evaluation of implementation and effectiveness of the client's management system
- Collecting of information and evidence about conformity to all requirements of the respective standard and other applicable normative documents
- monitoring, measuring, reporting and reviewing against key performance objectives and targets;
- Evaluation of the client's management system and performance as regards legal compliance;
- Evaluation of the company control/ management of processes of the client;
- Evaluation of internal auditing and management review;
- Evaluation of the management responsibility for the general regulations of the client;
- Evaluation of the connections between the normative requirements, policy, performance objectives and targets, any applicable legal requirements, responsibilities, competence of personnel, operations, procedures, performance data and findings as well as conclusions of internal audits
- Evaluation of the effectiveness of corrective actions to findings of stage-1 audit or of other previously performed audits

5.3.1 Critical and non-critical nonconformities; improvement potential

In the audit identified critical or non-critical nonconformities will be documented in the audit report and in the form „Nonconformity report".
As part of the approval of the certification procedure, the certification body can make a different classification of critical and non-critical nonconformities in contrast to the lead auditor after the final evaluation of the fulfilment of standard requirements.

Critical nonconformity: (Corresponds to the definition from ISO 17021-1 of a substantial non-conformity)

A critical nonconformity exists when:

- one (process-)element as a whole is not described in the required extent and/ or is not implemented
- delivery of faulty products/ services is likely to occur
- if considerable doubt about that effective process control exists or that product or service conforms to specified requirements;
- a failure of the management system is possible
- Several noncritical deviations related to the same requirement or the same problem could represent a system-related error and thus result in a critical nonconformity.
- hazard potential for employees is existing
- a non-critical nonconformity was not corrected in suitable way.

- Critical nonconformity lead to a re-audit – determined by the lead auditor (see 5.3.2.) and / or to submission of new documentation. Only after implementing the corrective action and confirmation by the lead auditor, a certificate / certificate continuation can be recommended.
- In case of critical nonconformities certification body can decide to immediately suspend the certificate.

- After expiry of max. 6 months after the stage-1 audit without evident elimination of the critical nonconformity, a new audit programme is necessary and a new stage-1 audit has to be initiated.

- Period for corrections and corrective measures performed after stage-2 audit, surveillance audit, re-certification audit or other audits: max. 6 months.
  If 6 months are exceeded, a repeated stage-2 audit is necessary.

- Verification of subsequently filed documents for nonconformities is documented in the audit report.

The company must define the planned correction, root cause analysis and planned corrective action for the identified critical nonconformity in nonconformity report: within 2 weeks after the audit.

The effectiveness of the performed correction and corrective action will be evaluated by the lead auditor on the basis of submitted documents by the company in the nonconformity report. By means of approval of the certification process the effectiveness of the corrections and corrective actions applies as being confirmed.

If necessary, the certification body determines an additional audit or documentary evidence and informs the customer organization concerning this.

Non-critical nonconformity: (Corresponds to the definition from ISO 17021-1 of a subordinate nonconformity)

A non-critical nonconformity exists when:

- Nonconformity that does not affect the ability of the management system to achieve the intended results
- there is an insufficiency that neither leads to a failure of the management system nor restricts its ability to secure process and product quality
- a insufficiency is detected in one part of the documentation of the management system
- a weakness is detected within the evidence of compliance of a single (process-) element requirement.

- In case of a non-critical nonconformity a certificate / certificate continuance can be recommended.

- A certificate can be issued only after the company determined corrections, root cause analysis and corrective actions which must be evaluated by the auditor and found as suitable for elimination of the nonconformity.
- non-critical nonconformities will be documented by the lead auditor in the audit report and in the form „Nonconformity report“

- Maximum term for proposals to corrections, root cause analysis and corrective action: within 2 weeks after the audit

- The effectiveness of implementation of the correction and corrective action will be reviewed during next audit.

- In case the correction or corrective action from the previous audit was proved to be not effective, a critical nonconformity has to be given in the current audit.

Improvement potential:

- Is a way to improve a process which fulfils basically the standard requirements
- Must not necessarily be implemented by the company

5.3.2 Re-audit and termination of audit

A re-audit is necessary when for example

- one or more nonconformities are evaluated as critical, which can lead to failure of the management system
- documented regulations and continuous implementation to one or more standard requirements are missing.

The decision to perform a re-audit makes the lead auditor.
Before the re-audit is carried out the performed corrective action must be proven by the company to the lead auditor.

There will be audited those processes that were found as defective during the previous audit.
The re-audit will be charged to the company separately for expenditure.

Period:

- Period for re-audits after stage 2-audit and recertification audit: max. 6 months
- Period for re-audits after surveillance audits and extension audits: max. 6 months

Concerning the re-audit a re-audit report will be written by the auditor with the evaluation of the effectiveness of the correction and corrective action. With the approval of the certification process the effectiveness of the corrections and corrective actions is confirmed.

A certificate can be issued only after a positive re-audit is completed and a positive evaluation of the corrections and corrective actions.
Critical nonconformities in the re-audit lead to non-issuance of the certificate or withdrawal of the certificate.
A re-audit may not be repeated. There must be requested a new initial certification.

Termination of audit

If such serious critical nonconformities become obvious during an audit that the lead auditor cannot recommend the issue of the certificate or the maintenance of the certification, the audited company has to be informed about the termination of the audit. The audit documentation will be prepared for the already audited processes according to point 5.3.3. The company will be charged at least the aroused costs till the audit termination (including reporting).
The certification body communicates further actions with the company.

5.3.3 Documentation of audits

With regard to time sequence of certification procedures, the documentation of the audit has to be available in the certification body usually 4 weeks after the audit at the latest.

To documentation belongs among others:

- Audit plan for each audit
- Audit report for each audit or combined audit reports for more than one standard
- If necessary statement of technical expert separately or integrated in the annex of audit report, with visual differentiation from the text written by the lead auditor
- List of participants with signatures of participants for every audit
- Nonconformity reports

- customer data sheet
- optionally annex multi-site certification
- if necessary remarks of the lead auditor concerning changes in company as information for the certification body
- Confirmation of the company's information provided to the lead auditor in the form of the customer questionnaire
- Confirmation by the Auditor that the audit targets were achieved
- Any deviation from the audit plan and the reasons for it.

Other standard specific documentation requirements can be found in the forms of the respective audit reports for every standard.

The audit report or the annex to the audit report must reflect an accurate, concise and clear record of the audit.
It must be understandable to which extent standard requirements were met by the company.

5.4 Issuance of the certificate and preparation of the certificate

5.4.1 Issuance of the certificate

After submitting the complete audit documents, the competent examination and approval of the certification procedure takes place by the head of certification body or by the specified personnel of the certification body, see competence matrix and “AA Fachkompetenz” (work instruction for scope competence) and standard specific determinations. The person making the decision to grant or refuse the certification, extension or restriction of the scope of the certification, suspension or restoration of the certification or renewal of the certification may not be a member of the Audtteam.

The entire audit documentation in accordance with point 5.3.3. is subject to examination and approval. If additional information or clarifications of the certification decision are used, these should be recorded.

The approval process is described in the “099 AA Approval of the certification procedure”.
If necessary it takes place an adjustment of the audit programme for the following audits, see point 4.3.

After the approval of the certification procedure the head of the certification body signs the certification contract, which will be sent together with the audit report and the certificates to the customer.

With integration of branch offices, the documents are sent to the branch offices for provable transmission to the clients, see the specific arrangements for branch offices.

5.4.2 Preparation of the certificate

The validity or the duration of the certification is:

- First certification:
  - approval date + 3 years minus 1 day

- Re-Certification:
  - If the approval date is up to maximum 3 months before the expiry of the valid certificate and it is not an “premature” re-certification (see chapter 7), the new duration connects to the duration of the existing certificate: from the end of the previous term until the date of expiry of the existing certificate + 3 years (connecting certificate). The base date for following audits changes with the date of the re-certification decision.
  - If the approval is made after the expiry of the validity of the certificate, but within 6 months after expiry, the duration begins with the approval date of the re-certification procedure and ends with the date of expiry of the existing certificate + 3 years, what means, that no connecting certificate will be issued, the certification is restored. The base date for following audits changes with the date of the re-certification decision.

The preparation of certificates is regulated in the applicable work instruction for preparation of certificates, see “001 AA Certificate preparation” (“001 AA Zertifikatserstellung”).

6. Surveillance audit

Within the validity of the certificate once a year surveillance audits are performed. In a calendar year, two consecutive monitoring audits may not take place.
Starting from the last date of the certification or re-certification audit, the 1st Surveillance audit has to be performed max. 12 months after the certification decision.

Further shifting requires the approval of the certification body, if necessary in coordination with the accreditation body, or lead to the suspension / withdrawal of the certificate.
In case that no audit will be performed within the due date, the certificate will be suspended or withdrawn.
Due dates for the suspension / withdrawal are defined in the delinquency procedure of the certification body, see “099 AA Deadline monitoring” (“099 AA Terminüberwachung”).

A decision in individual case by the certification body remains possible in exception cases.

Planning and conduction of surveillance audits:

At the latest of 2 months before the target date for conduction of the surveillance audit, the certified customer is informed in written way and is asked to inform the certification body about changes and possible effects on the certification of his management system.
Should the current data of the company have significant changes to the currently valid audit program (e.g. changes in staff numbers in comparison to the last audit, extension of the scope, inclusion of new locations, changes in legislation, etc.), then the existing audit programme will be adjusted by the certification body and communicated to the customer. See point 4.3.

Basically, the definition of the audit team (see 5.1.) and the audit planning (see 5.2.) is analogous to the initial certification.
The subcontracts are sent to the whole audit participants according to the audit programme.

The audit time on site corresponds to the calculation explanation. Not all standard requirements will be checked. The audit of the standard points has to be split in such a way that with the second surveillance audit all standard requirements will have been checked (see also standard specific requirements, among other in form "standard requirement").
It is strongly recommended that projects which are not processed in the company continuously, but shall be certified according to scope (for example, development) will be checked already during the 1st surveillance audit in order to avoid that there is no corresponding project in the 2nd surveillance audit.

In addition to standard specific requirements among other following aspects have to be examined and evaluated in every surveillance audit:

- Changes in organization or management system of the certified customer
- Effectiveness of management system concerning the achieving of aims of the certified customer
- Internal audits
- Management review
- Corrective actions concerning nonconformities from the last audit
- Handling of complaints
- use of certificate and certification mark

Documentation and approval of surveillance audit:

The documentation of surveillance audits is analogous to 5.3.3 and the documentation has to be presented in the certification body at latest 4 weeks after the audit.

The approval is analogous to the certification audit.
With the approval of the surveillance procedure the audit programme is examined for further adequacy and is confirmed / changed by the certification body. Changes in the audit programme are submitted to the customer (e.g. new calculations and preparation of a respective offer).

After the approval of surveillance audit the audit report is sent to the customer.

With integration of branch offices, the documents are sent to the branch offices for provable transmission to the clients, see the specific arrangements for branch offices.

7. Re-certification

According to ISO 17021-1 the re-certification is conducted, including the certification decision, within the validity period of the certificate. All standard requirements will be checked.

Approx. 4 months before the expiry of the validity of the certificate, the certification body asks the client for the current company information.

On the basis of current customer data an application examination is conducted again – see 4.1 – and, if a re-certification can be conducted- a updated audit programme for the next 3 year circle is developed – see 4.2 – and is submitted to the client for confirmation / placing of order for the re-certification.

In general, a stage-1 audit in the frame of a re-certification is not necessary. In case of significant changes in the management system of the client or in connection with the functioning of the management system (e.g. amendment of legal requirements), a stage-1 audit is necessary.

If the re-certification activities are completed successfully before expiry of the existing certification, the expiration date of the new certification can be based on the expiration date of the existing certification. The date of issuance of the new certificate must correspond to the date of the re-certification decision or a later date.

If the certification body has not completed the re-certification audit before expiry of the certification date or is unable to verify the implementation of corrections and corrective actions for any substantial nonconformity, no recommendation for re-certification should be issued and the validity of the certification may not be extended become.
→ The customer will be informed in an information letter with the offer about the effects of not fully implementing a re-certification on time (audit duration + processing of non-Conformities) by the customer and the resulting consequences for the certificate to be created (connection certificate).

When the re-certification activities are completed, the certification can be restored within 6 months after the expiry of the certification, otherwise a new stage 2 audit is to be carried out. The certificate's expiration date must be the same as the re-certification date or later, and the expiration date must be based on the previous certification cycle.

If the certificate of the applicant organization already expired, a new offer for the initial certification must be written:

- new reference/order number
- new certificate number
- reductions are possible (for example, prior knowledge of the management system of the customer)
- stage-1 and Stage-2 can be combined (internal note is necessary), upon condition that no significant changes in the management system of the company happened since the last audit

A recertification audit must be performed maximum up to 3 months before the expiry of the certificate, in order to get the connecting certificate. Re-certification audit, carried out more than 3 months before the expiry of the certificate, are considered as "early re-certification audits". In this case no connecting certificate can be issued. The duration of the certificate begins with the approval and expires after 3 years minus 1 day, see 5.4.2. certificate preparation.

During the re-certification audit all standard requirements must be checked.

The aim of the re-certification audit is to check and to evaluate, if:

- the management system as a whole in the face of internal or external changes is still effective
- the continued relevance and applicability of the management system within the scope of the certification is given
- the given obligation to maintain the effectiveness and improvement of the management system to improve the overall performance is suitable
- the maintenance of the certified management system contributes to achieving policy and objectives of the organization.

Re-certification also includes the review of previous audits on monitoring audits and the performance of the management system over the most recent certification cycle. The transmission of these earlier audit reports is carried out by sending the subcontract.

The further audit planning, audit conduction and audit documentation as well as the approval and issue of certificate is analogous to the certification procedure – see point 5.

8. Suspension and withdrawal of the certificate; limitation of the certification scope

A suspension or withdrawal of certification will be conducted by the certification body, when:

- a certified management system of a customer does not fulfil the certification requirements permanent or serious
- the certified customer does not allow the necessary frequency of audit conductions (e.g. surveillance audits)
- the certified client asked voluntarily to receive the suspension
- the client has not fulfilled further contractual obligations towards the certification body

The timelines for suspensions and withdrawals are regulated in the delinquency procedure of the certification body, see “099 AA Terminüberwachung” (deadline monitoring).

Limitations of the scope of the certification are made by the certification body, when:

- the certified client has failed permanently or seriously to meet the certification requirements for parts of the scope of certification

The certification body clarifies further procedure with the customer. In case of limitations on the scope changed certificates with an unchanged validity will be issued.

9. Application of electronically based audit techniques

The application of electronically based audit techniques (e.g. Documents review, checking of corrective and preventive measures, video conferences) has to be considered at the stage of contractual review and has to be documented, if applicable, in the audit plan (e.g. video conferences) and audit report. see the corresponding work instructions for remote audits.

10. Auditing of temporary sites

If temporary sites are available, assessments of these sites have to be considered in audit planning respectively. The necessity of on-site visits depends on the relevance with regard to the scope of the certification. The insertion of the temporary locations to the annex to the certificate is possible, as far as these were taken into account in the audit program, see “001 AA Certificate preparation” (“001 AA Zertifikatserstellung”).

11. Special audits

11.1 Extension Audit

If the scope of the existing certification shall be extended, the change can be performed within the frame of an extension audit. The performance of an extension audit can be done in connection with surveillance, repeat audit or at a separated date.

Extensions may cover

- changes / extension of the certification base (standard)
- extension of the scope of the already granted certification
- significant changes in the management system of the company (for example, the exclusions or non-applicable standard requirements)
- changes of locations

In this case the company will be asked for additional / changed information and the man-days will be calculated again; in some cases also subsequent audits can be influenced by these changes.

The existing audit programme is updated by the certification body and sent to the company with an offer for audit extension for confirmation / placing of order.

11.1.1 Extension on a new standard

The calculation is based on the number of employees who work in the management system of the new standard. Man-days of a new certification must be calculated.
In case of the integrated management system, all employees are taken as a basis for the calculation.
The company will receive a revised offer in which the changed man-days for every standard and every audit are presented.
For the new standard stage-1 audit must be calculated and performed.

11.1.2 Extension / modification of the scope

The calculation of the extra time is based on the number of employees who are affected by the extension of the scope. The man-days for the due next audit will be calculated (SA or RA, not CA). If the number of employees has not changed according to existing offer, nonetheless additional extra time for the examination of new circumstances must be calculated.

The company will receive a revised offer in which the changed man-days for the following audit are presented.

11.1.3 Substantial changes in the management system of the company

Substantial changes in the management system of the company may also lead to an increase of man-days, for example, when a formerly excluded standard chapter was included in the management system again (for example, development). In this case the man-days according to corresponding standard specific calculation explanation must be re-calculated.
By reducing of the required demands a reduction of man-days can result depending on standard specific calculation explanation.
The company will receive a revised offer in which the changed man-days for every standard and every audit are presented.

11.1.4 Adding of new company locations

The calculation for the addition of new company locations is described in the “099 VA multi-site certification procedure” (“099 VA Zertifizierungsverfahren Verbund”).

11.2 Audit planning and performance of the extension audit

After the confirmation of order the lead-auditor or the audit team get with the subcontract the updated audit programme and changes to the contract.

By the lead auditor / audit team all through the extension relevant management system documents will be examined and all relevant standard requirements for the extension will be audited. The extension is documented in the audit report. Like in the certification audit, the entire audit documentation has to be handed in to the certification body for checking, approval and issue of certificates – see 5.3.3.

A change to contract has to be signed by the client and the certification body.

After approval of the extension of the certification procedure the client receives from the certification body the audit report, the change to contract on certification and the certificates. The validity of the certificate does not change.

With integration of branch offices, the documents are sent to the branch offices for provable transmission to the clients, see the specific arrangements for branch offices.

11.3 Short-term and unannounced audits

Short-term and unannounced audits can be necessary amongst other things in order to
- investigate complaints
- audit significant changes of the MS and of the processes
- define the certification capability after a suspension

In the case of audits announced at short notice, the certification body requires necessary documents from the company and fixes the audit expenditure and the elements to be audited. The company is informed on the audit team. The audit at short notice is documented in the audit report.

In the event that the certification body decides to carry out an unannounced audit in the company for serious reasons, the audit will be determined by the management of the certification body. The audited elements are determined by the reasons. The Auditteam is determined by the management of the certification body, with particular care being taken in the selection of the auditors:
There is always an audit team, at least 2 auditors. The required competency is covered in the audit and a senior auditor with a long-term audit experience is included in the auditorium, since the customer can not speak against this auditor. The unannounced audit is documented in an audit report.

In both cases, the management of the certification body of the audit report and, where appropriate, the deviation reports, the checklist of the standard requirements for examination and approval are submitted.

Where necessary, a contract amendment must be signed by the contracting entity and the certification body.

The customer gets from the certification body after the approval of the procedure his audit report and if applicable, the change to the contract and changed certificates.

With integration of branch offices, the documents are sent to the branch offices for provable transmission to the clients, see the specific arrangements for branch offices.

11.4 Audit in case of change of the companies address

The company must inform in its change note according to contract § 2, subparagraph 5 whether the certified management system is affected by this change. It must be confirmed by the company, if applicable, that the management system is still be effective.

When the company changed its address it must be verified and documented in the on-stage audit (preferably a regular SA or RA, so that the additional effort remains low), whether the management system still functions at a new location effectively.

If an unscheduled audit must be carried out, following priorities must be checked:
- Documentation of the management system
- Infrastructure and working environment,
- Site-specific conditions and
- Further norm-specific aspects that may be affected by the change of address.

It is preferred, that the auditor who audited the company earlier, performs the audit. The participation of technical experts is not necessary for this audit. If another auditor, who does not know the company, will perform the unscheduled audit, so this auditor must have at least the competence in the business field or in risk class.
The documentation follows in general “099 F Audit report” (“099 F Auditbericht”) without standard-specific annex.

When only the company name or legal form were changed, no on-stage audit is necessary. It must be confirmed by the company, if applicable, that the management system is still be effective.
A new certificate with the changed company name or legal form can be issued after signing the changes to the contract and after confirmation of the effectiveness of the management system by the company.

Changed certificates will be issued with the actual date without changing the previous duration.

The certificates, which got invalid with the changes in the company, must be returned back to the certification body after the customer got his new issued certificates.

12. Public information

The geographical area of the activitys of the certification body is presented on the homepage of TÜV Thüringen. Furthermore, the certification body can check the validity of issued certificates. Details of the certificate holder, certificate number, certification standard(s) and the scope of the certificate are given. Further information can be provided by request from the certification body.

13. Spot check verification of procedure of certification and surveillance

The spot check verification of the certification and surveillance procedures is performed in the internal audits of the certification body. The procedure is described in the management manual of TÜV Thüringen e.V.

14. Archiving

The archiving of certification documents and records is regulated in the management manual of the of TÜV Thüringen e.V.

15. Other applicable documents

- Annex 1 to 099 VA Certification procedure (standard specific regulations)
- 099 VA Transfer of accredited certification
- 099 VA certification organization multi-site
- 099 VA Certification IMS (Integrated Management Systems)
- 099 AA Checking approval procedure
- 099 AA Deadline monitoring
- 099 AA Remote-Audit
- 001 AA Certificate preparation