



CERTIFICATION PROCESS PROCEDURE

PR_04 certification process procedure
Rev. 03 10/07/2023

CERTIFICATION PROCESS PROCEDURE

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1. ISSUE OF CERTIFICATION

1.1 Request for quotation

Back Office will be able to prepare an offer for certification if the organization requesting certification completes and ensures that the authorized representative signs the Request for Offer, which must be forwarded to Back Office.

1.2 Preliminary assessment

If the company deems it necessary, it can ask Back Office to carry out a preliminary assessment. This request must be made at the same time as completing the certification request or in the form of a different written request.

The purpose of the preliminary assessment is to:

- a) Determine the size, structure, and activities of the organization applying for certification;
- b) Determine the level of readiness of the organization and define the certification process by evaluating the completeness of the documentation and the progress of the implementation of the management system according to the reference standard.

The preliminary assessment before the certification assessment is not mandatory and the organization can request it only once. The number of days required for its implementation is determined according to the type and size of the applicant organization. The date and timing of the preliminary assessment are determined by Back Office in agreement with the company.

At the end of the preliminary assessment, the assessment team prepares a report whose results will under no circumstances be included in the certification process.

1.3 Offer for certification

Upon receipt of the Request for Offer, duly completed by the Organization requesting certification, back office will review this Request for Quotation and, if necessary, contact the Organization; back office will verify that they have the skills and ability to perform certification activities regarding the standards and technical areas required by the customer, then prepare the offer and the related certification program (within eight days at the latest after receipt of the Request for Offer).

The economic evaluation of the certification activity is prepared on the basis of the price lists of the CB CERT company, valid on the day of the offer; This amount, which is determined on the basis of the number of days/employees needed to evaluate the management system of the organization requesting certification, is based on the size of the company, the complexity of the production processes and / or individual products, the risk existing in the company and the type of certifications required. Calculations of the time required for assessment are based on IAF MD 05:2019, which also affects the cost of the certification itself.

CB CERT has determined the conditions and criteria for evaluating an organization with multiple locations with documentation intended for this purpose (see section 1.7.5). The duration of the audit includes:

- a) Examination of the documentation relating to the management system of the organization requesting certification;



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- b) Audit in loco;
- c) Timetable for issuing the report.

The economic evaluation shall contain the following items where they are used:

- a) Stage 1: Verification of documentation and system settings;
- b) Stage 2: system evaluation;
- c) Annual maintenance surveillance;
- d) Certification renewal audit;
- e) Any additional audits (in the cases defined by this Regulation);
- f) Administrative costs;
- g) The cost of issuing a certificate.
- h) The cost of issuing the certificate
- i) cost of any duplicate issuance/modification of the certificate
- j) Costs of transport, board and lodging.

The offer is valid for six months from the date of issue by CB CERT.

The offer is then sent to the applicant for acceptance accompanied by the contract.

If, upon receipt of the request for an offer, Back Office and Supervisor decide, after examining the request, not to accept the application for certification, it must communicate in writing to the Organization requesting certification the reasons for not accepting the request submitted.

The economic definition of the offer also includes additional costs, as listed below:

- a) cancellation of the Audit activity with written notice up to 20 days before the agreed date for the execution of the audit (charge of 50% of the audit amount, except in the case of delay due to motivated and extraordinary events, of which the organization informs CB CERT in writing);
- b) Cancellation of the audit activity with written notice less than 7 days before the agreed date for carrying out the audit (charge of 100% of the audit amount);
- c) Suspension of certification activity for any reason (charge for services performed up to the time of suspension, with a minimum charge equal to the cost of starting the procedure);
- d) Termination of the contract with written notice less than 6 months before the expiry of the certificate issued by the company CB CERT, possibility of debiting in the amount of 20% of the total amount of the contract);
- e) Termination of the contract with written notice exceeding 6 months before the expiry of the certificate issued by CB CERT without completion of maintenance assessments (possibility of charging 20% of the total amount of the contract);

Contractual agreements may not, in principle, be amended after the conclusion of the contract; however, CB CERT reserves the right to modify the contractual conditions during the certification cycle if it finds that the actual circumstances differ from the conditions declared by the organization. The client organization will be informed in writing of this type of revision of the contract and, in case of non-acceptance of the revised contract, the customer will face the termination of the contract and the immediate withdrawal of the certificate.

1.4 Certification process

The Organization requesting certification and intending to accept the certification offer must return to Back Office the "Offer-Contract" form duly signed by an agent, which has contractual validity.



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1.5 Audit Planning

Upon receipt of the signed "Offer-Contract", CB CERT will take care of the planning of the audit activities. For each entire certification cycle, back office and supervisor develops a three-year audit program in which the required audit activities are clearly defined and based on which it can be demonstrated that the organization's management system meets the requirements for certification.

The three-year evaluation program covers:

- a) initial assessment, divided into two phases (Stage 1 and Stage 2),
- b) a surveillance audit in the first year
- c) A surveillance audit in the second year

Back office appoints a Lead Auditor who has the specific skills of the standard and the technical area related to the certification requested by the customer. The Lead Auditor will start the certification process; if the Organization has large dimensions, back office can appoint a group of Auditors and a Lead Auditor to head the group.

Regarding the members of the assessment team, the organization applying for certification may express its disagreement with one or more members of that Assessment Organization, with adequate reasons for its decision; if the reservations made are recognized as well-founded, CB CERT will modify the composition of the assessment team in agreement with the organization requesting certification.

1.6 Stage 1: Checking System Documentation

1.6.1 Design and execution

At the time of acceptance of the Offer-contract Back Office agrees with the organization requesting certification the methods of verification of the system documentation; this verification represents Stage 1 of the initial assessment activity.

The duration of the assessment required for Stage 1 and stage 2 audits is determined by the IAF.

Stage 1 and Stage 2 activities may, at the discretion of the Lead Auditor and in agreement with the supervisor, be carried out consecutively at the organization requesting certification, subject to verification of availability and in agreement with it. Depending on the individual schemes, different criteria may be indicated for the implementation of Stage 1.

If the results of the Stage 1 checks indicate an obvious problem, the lead auditor will inform the organization requesting certification that Stage 2 cannot be performed until the organization requesting certification resolves and eliminates the identified problem.

The Lead Auditor will file a Stage 1 report.

1.6.2 Objectives

The objectives of Stage 1 are:

- a) Assessment of documentation relating to the management system of the organization requesting certification;
- b) Evaluation of the location, any special conditions of the area of the organization's headquarters and exchange information with the organization's staff to determine the level of preparation to proceed with the realization of Stage 2;
- c) Study on the understanding, by the organization requesting certification, of the requirements prescribed by the standard, with particular reference to the determination of key services and / or aspects, processes, objectives and operations affecting the management system; Where



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necessary, the assessment team will provide an assessment of the appropriateness of any exclusions from the requirements of the reference standard and record any material deficiencies such as non-conformities, notes or comments.

- d) Collection of the necessary information regarding the scope of the management system, the processes and locations of the organization, including legal aspects, regulations and compliance related to them (e.g. quality, environment, legal aspects related to the activities of the organization, with associated risks, etc.);
- e) Assessment of the presence of resources during Stage 2.
- f) Adequate and well-oriented planning of Stage 2.
- g) Assessment of the planning and execution of internal audits and management reviews and determination that the level of implementation of the management system sufficiently demonstrates that the organization applying for certification is ready for Stage 2.

The objective elements of assessment are illustrated on the stage 1 Audit plan, issued by the Lead Auditor:

- 1) For all systems:
 - a) Resolve the unfinished points of the first phase;
 - b) Evaluate the management system used in relation to the fulfillment of company policy;
 - c) verify that the internal audit is carried out at the planned intervals and that its purpose has been achieved;
 - d) evaluate internal audit plans and planning of monitoring actions;
 - e) Control management review;
 - f) Verify compliance with binding legal requirements;
 - g) Examine outsourced services;
 - h) Review the results of the evaluation at each point of the standard;
- 2) Objective elements of assessment specific to the quality management system:
 - a) How the organization plans and implements the production and provision of services.
- 3) Objective elements of assessment specific to the environmental management system:
 - a) Determination of environmental aspects of activities, products and services;
 - b) Determination of aspects that have or could have a significant impact on the environment;
 - c) Determination of binding legal requirements and how they are taken into account in the identified environmental issue;
 - d) Verification of the existence and updating of the list of mandatory requirements;
 - e) Determination of operational controls that demonstrate continuous improvement of significant environmental aspects.
- 4) Objective elements of assessment specific to the management of safety at work:
 - a) Verification of the conformity of the hazard identification procedure, the risk assessment procedure arising from the problem;
 - b) Determination of risks, methods of resolving risks, their implementation and corresponding monitoring of their applicability;
 - c) Risk reduction according to the following hierarchy: elimination, substitution, technological measures, alert or administrative measures;
 - d) Verification of legal requirements, including industry legislation and regulations;
 - e) Verification of compliance with legal obligations, verification of the existence and compliance with regulations on safety at work;

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- f) Verification of the regulations prescribed by the organization and guarantee of their continuous improvement.

1.6.3 Verification criteria

The Organization applying for certification shall submit to CB CERT (back office and LA) for audit, if appropriate, a copy of the following documentation whose management is under control:

- 1) Mandatory documentation
 - a) purposes and areas of use of the system;
 - b) A statement of the exclusions of the prescribed requirements and the reasons therefor;
 - c) Illustration of production processes and their mutual influence;
 - d) Brief description of methods, responsibilities, and resources for compliance with applicable regulatory requirements, including references to documented procedures or other system documentation;
 - e) Methods and responsibilities in the management of complaints;
- 2) List of internal procedures and quality-relevant documentation;
- 3) Extract from AJPESA as proof of the existence of the organization and the activities it carries out;
- 4) Organization chart of the management system of the organization requesting certification;
- 5) Floor plans of the place(s);
- 6) The latest management review;
- 7) Planning of internal audits;
- 8) A list of the main laws and/or regulations applicable to the product/service offered;
- 9) Binding permits for the performance of activities;
- 10) Report of internal audits.

The information contained in the documentation must be such as to allow, before Stage 2, to:

- a) Assess compliance with the mandatory requirements (which is a prerequisite for the continuation of the activity);
- b) Evaluate the system requirements of the reference standard and other evaluation references;
- c) Evaluation of resources and technical and organizational aspects of the company;
- d) Planning of the verification of production activities, tests and inspections.

In addition, the Lead Auditor will consider:

- 1) Planning and results of internal audit;
- 2) Evaluation of the contents of the system review by management.

An organization applying for certification must complete at least one management review and internal audits of the entire system prior to Stage 2.

During Stage 1 the organization requesting certification, the Lead Auditor can supplement the documentation with other documentation if necessary.

Verification of the specified documentation will be carried out by comparing the documentation with:

- a) Reference standards;
- b) REGULATIONS OF SLOVENIAN ACCREDITATION.
- c) Rules of CB CERT.



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During the period of validity of the certificate, the Organization is required to take care of the approval of the documentation, which must be consistent with the procedures for examining the documentation itself.

After the analysis and evaluation of the applicant's documentation and after the implementation of the Internship, the Lead Auditor prepares a plan for Stage 2 which will cover:

- a) Objectives of the evaluation;
- b) Judging criteria;
- c) The scope of the assessment, including the identification of the organizational and functional units, processes and products/services to be assessed;
- d) Site assessment activities will take place, including site visits/temporary sites
- e) Coordinated dates according to the client's needs to solve any problems that may arise during Stage 2;
- f) Estimated time and duration of the audit;
- g) Roles and responsibilities of the members of the evaluation team and any accompanying persons.

The applicant may raise its objection to one or more members of the audit group no later than 5 working days before the start of the audit; in this case, if this type of objection is recognized as consensually justified, CB CERT will appoint a new evaluation team.

1.7 Stage 2: System Assessment

1.7.1 Stage 2 Assessment Planning

After the positive outcome of Stage 1, Lead Auditor carries out the planning of Stage 2 with the aim of verifying the effective implementation of what is declared by the organization requesting certification, in the documentation of the company management system.

The audit team, which includes professionally qualified personnel for the audit and responsible for the reference technical area/sector, carries out the audit, which is conducted under the guidance of the lead auditor responsible for the group and which includes the management system, a visit to the headquarters and/or production plant(s) of the organization requesting certification and, where necessary, also at external suppliers of activities (outsourcing), according to the evaluation plan previously envisaged.

1.7.2 Purpose

The purpose of stage 2 is to evaluate the implementation and consequent effectiveness of the management system of the organization requesting certification. Stage 2 focuses on:

- a) Information and evidence of compliance with all requirements of the standard or other regulatory document used in the management system;
- b) Monitoring, measurement, analysis and evaluation of services / processes / products, with reference to compliance with the law;
- c) Context analysis and risk analysis;
- d) maintaining control of processes by the organization;
- e) Internal audits and management review;
- f) the responsibility of the management for the policy of the organization;



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- g) Links between regulatory requirements, policies, objectives (according to the requirements of the management system standard used or other regulatory document), all industry legal regulations, responsibilities, professional qualifications of personnel, activities, procedures, data on services and the results and conclusions of internal audits.

1.7.3 Tasks of the audit team

The audit team must analyze all information and evidence gathered during Stage 1 and Stage 2 audits to review the audit results, draw conclusions and issue a report. These informations concerning the audit objectives, scope and criteria shall be collected with these methods: interviews, observation of processes and activities review of a documentation and records. During the audit the audit team shall periodically assess audit progress and exchange information

1.7.4 Kick-off meeting

The Audit begins with a meeting where the Lead Auditor, who is responsible for the assessment team:
- introduces the group

- presents the evaluation process to the representatives of the organization,
- emphasizes data privacy aspects, establishes a formal communication channel with management,
- provides adequate clarification regarding the methods and procedures used to carry out the sample assessment,
- explain the availability of the necessary resources and equipment to be made available to the assessment team,
- verify, on behalf of the assessment team, the existence of adequate conditions for the safe execution of the work,
- the procedures for emergency action and to ensure safety,
- Determine the roles and actions to be respected by the certification organization and the assessment team together with any experts, and observatories and describes the process that CB CERT implements in the management of non-conformities and their treatment, any corrective measures and any suspensions of the assessment (very serious deficiencies or non-implementation).

It is confirmed: the purpose of the certification, the audit plan or any changes to the audit plan, the status of the results of the previous audit, the language during the audit, that the client will be informed during the audit about the progress of the audit and any shortcomings. At the end of the initial meeting, the client is also given the opportunity to ask questions.

The evaluation is carried out considering the requirements of the reference standards and any criteria and/or industry guidelines (if approved by CB CERT), through a checklist for the preparation of feedback, which allows the assessment of the degree of compliance with the required requirements.

1.7.5 A multi-site organization

Where a given organization operates in more than one permanent location, where all management system functions are performed from a head office, and a request for uniform certification is submitted, the assessment may be carried out by sampling the locations subject to verification, provided that:



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- a) the activity being certified is the same for all locations and the organization uses the same business management system (which is implemented by the headquarters) for all locations;
- b) there are similar processes and activities in the locations; in the case of locality subgroups with similar activities, the sampling criteria may be applied to each locality subgroup defined;
- c) system management activities (e.g. review of the management system by the administration, internal audits, corrections and corrective measures) take place at the organization's headquarters;
- d) before to Stage 2 by CB CERT (Lead Auditor), the organization conducted an internal audit of each location. In the event of any discrepancies found during audits at a single site, the Organization shall assess whether these are attributable to deficiencies attributable to multiple locations and, if found, shall ensure acceptance of appropriate corrective measures both at the headquarters and at other production sites.

CB CERT (Lead Auditor) will develop such a sampling program to ensure an adequate audit of the management system so as to ensure that one third of the organization is covered at the initial audit and the organization as a whole during the three-year validity period. During the period of validity of the certificate, both the headquarters (at each audit) and the individual plants (other locations) are checked and sampling can be carried out at the latter in order to determine which control is necessary. The certification is issued to the organization that requests it, specifying the individual units (locations) included in the system. In the case of construction sites, Lead Auditor assesses those that have the most significant impact on operations, but the objective of the assessment is to visit as many construction sites as possible within three years, considering the regulations specified in the special regulations, as well as in the applicable procedures, guidelines and regulations.

1.7.7 Supplier audits

CB CERT (Lead Auditor and Supervisor) reserves the right to carry out audits of potential suppliers entrusted with the processes subject to certification. If the verification activity at the supplier cannot be planned during the initial assessment, it must be carried out during the three-year certification period.

1.7.8 Joint judgments

If CB CERT were to carry out a joint assessment (where other authorized bodies were present in addition to CB CERT), CB CERT itself, through its principal assessor, will have to determine the methods of communication with the auditor, the conditioning systems, the evaluation and for the preparation and distribution of the evaluation report. The plan issued must be reviewed and accepted by the audit client and must be submitted to the assessor before the start of activities in that area.

1.7.9 Availability of documentation

The certification organization shall endeavor to ensure the availability of documentation relating to the establishment and implementation of the system and to cooperate during all verification activities, providing access to all required information, appointing its representative responsible in relation to the audit team and requesting consent regarding the presence of potential consultants as observers.

1.7.10 Team meeting



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At the end of the audit, the evaluation team meets to process the data collected, agree upon the audit conclusions, identify any corrective action, confirm or modify the audit plan.

1.7.11 Closing meeting

During the final meeting related to the audit, in the presence of the management of the organization, the Lead Auditor in charge of the evaluation team informs the organization of the results of this assessment, provides explanations regarding the results of the Audit and warns the organization that the evidence collected during the audit is based on sampling the information/documentation, with consequent attention to the element of uncertainty, and then formalize and deliver to the organization the related report, which includes information and evidence (both those evaluated positive and those to be improved) for both Stage 1 and Stage 2, together with any non-conformities, observations and comments.

The Lead Auditor explains the process of classifying the results of the assessment (non-conformities, observations, comments), the procedure for dealing with individual cases, the possible consequences for the client's certification status, the deadlines for the preparation of a corrective action plan and the deadlines for eliminating non-conformities, observations and comments.

During the closing meeting, the organization can formulate any reservations, observations and / or suggestions on the work of the evaluation group and on the service provided; Such reservations, observations and complaints may also be made at a later date.

1.7.12 Audit report

Lead Auditor provide a written report for each audit. The audit team may identify opportunities for improvement but shall not recommend specific solutions.

The audit report shall provide an accurate, concise and clear record of the audit and shall include to the following:

- a) identification of the certification body
- b) the name and address of the customer and the client's management representative
- c) the type of audit (e.g. initial, surveillance or recertification audit);
- d) the audit criteria;
- e) the audit objectives;
- f) the audit scope, particularly identification of the organizational or functional units or processes audited and the time of the audit;
- g) identification of the audit team leader, audit team members and any accompanying persons;
- h) the dates and places where the audit activities (on site or offsite) were conducted;
- i) audit findings, evidence and conclusions, consistent with the requirements at the type of audit;
- j) any unresolved issues, if identified.

1.7.13 Verification of the audit report

The Supervisor will verify the report issued by the evaluation group and, if no changes are necessary, will continue the process of issuing the certificate; otherwise, any changes to the content will be appropriately reported and justified.

The certification will not be granted until any non-conformities are correctly resolved and accepted by Decision Manager with a favorable outcome, through extraordinary audit and / or review of



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documentary evidence (see next paragraph), correction / closure of the same and implementation and effectiveness of the related corrective measures; the same procedure will apply in the case of other findings whose number and magnitude, would be such as to jeopardize the proper functioning of the system and compliance with the declared requirements. Further checks carried out by the assessment team, and their results are verified by the Supervisor and the Decision Manager.

In the case of non-conformities and observations, certification cannot be granted until the Organization communicates to CB CERT the corrective measures prepared and until such proposals have been approved by the Lead Auditor, the Supervisor and the Decision Manager.

1.8 non-conformities and corrective actions

The findings that will be submitted to the organization are classified according to the importance of the identified deficiencies (level/type of findings and specific circumstances) and according to the definitions integrated below:

- 1) Non-conformities (CN)
 - a) Absence of relevant elements of the management system (SG) compared to the reference standard (absolute lack of use);
 - b) Failure to meet a requirement of the rule relating to the Organization, application or formalization of the management system and which may lead to an established risk (based on objective elements) of non-compliance, recurring or unique in the event of very serious risk, of a specific requirement.
 - c) Failure to meet a requirement that compromises the effectiveness or improvement of the Management System.
- 2) Remarks
 - a) Partial absence of one of the elements of the management system according to the reference standard (lack of use and / or documentation) which, on the basis of the objective evidence available, does not affect the conformity of the product / service provided by the organization;
 - b) Failure to meet a requirement of the standard that does not entail a serious risk in non-compliance with a specific requirement.
 - c) Absence of documented evidence of one of the elements of the management system (SG) with respect to the reference standard, still used;
 - d) The presence of occasional errors that require timely intervention.
- 3) Comment (COM)
 - a) All the rest that, although not falling within the definitions of non-compliance, represents areas of effectiveness of the management system that can be improved;
 - b) Where it is not necessary to quickly close the identified deviation;
 - c) Slight deviations of the system compared to established practices, without identifying negative evidence;
 - d) When it is not possible to determine one of the three key points characteristic of observation:
 - i. A precise request;
 - ii. Deviation or non-application of the request;
 - iii. Objective evidence.

The Organization shall determine and notify Lead Auditor of the non-compliance considerations/observations and corrective actions it intends to implement, together with the related planning for approval, and implement them within the timeframe determined by the class of



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nonconformities/specific observations as indicated in the final document verification report and considering the following criteria:

- 1) Non-conformity:
 - a) the Organization must prepare a plan of corrective measures and transmit it to Lead Auditor within 7 days;
 - b) Upon certification/renewal, the organization must act and close the non-conformities within 3 months, in case of Surveillance, within 1 month;
 - c) Verification of corrective actions with extraordinary audit must be carried out within a maximum of 4 months;
 - d) The verification of corrective actions through the examination of documentary evidence must be completed within 3 months and verified in the subsequent surveillance.
- 2) Remarks:
 - a) the Organization must prepare a plan of corrective measures and transmit it to Lead Auditor within 7 days;
 - b) Upon certification/renewal, the organization must act and close the non-conformities within 3 months, in case of Surveillance, within 1 month;
 - c) Verification of corrective actions with extraordinary audit must be carried out within a maximum of 4 months;
 - d) The verification of corrective actions through the examination of documentary evidence must be completed within 3 months and verified in the subsequent surveillance.
- 3) Comments:
 - a) the organization is not required to define corrective measures and to transmit it to Lead Auditor
 - b) the organization is not obliged to take actions and close comments;
 - c) Verification of action and efficiency through the examination of documentary evidence during the subsequent surveillance audit.

In the case of surveys marked as "Comments", a detailed analysis of the findings submitted must be recommended to the organization in order to prevent the occurrence of inconsistencies / observations and / or to improve the ongoing management system. Decision Manager merely verifies whether and how the organization has addressed these observations in the subsequent assessment for the maintenance of certification.

1.9 Issue of a certificate

Back Office shall ensure that the person that make the certification decisions are different from those who carried out the audit

- 1) The decision manager prior to make a decision shall confirm that:
 - a) The information provided by the audit team is sufficient with respect to the certification requirement and the scope for certification for all non-conformities
 - b) The audit team reviewed, accepted and verifies the effectiveness of corrections and corrective actions
- 2) Considering the initial audit report, the corrective action plan and the certification proposal prepared by the supervisor, the deputy adopts one of the following decisions:
 - a) Issuance of the certificate:
 - b) Request for further clarification and/or documentation.
 - c) Refusal to issue a certificate.



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- 3) Back office fills out the CBCert_16 Decision Report form for the personal data; the supervisor fills out the check file and informs the Decision Manager to evaluate the file. The Decision Manager fills in the part of his competence and save the file on CBCert server then advise back office by phone or e-mail that the document complete is on server.
- 4) Back office will inform the Organization in writing of the decision taken:
 - a) In case of positive decision will send to the Organization the certificate and logos
 - b) In the event of a negative decision, it will inform the Organization in writing, also specifying the reasons for the refusal.
- 5) By signing the offer-contract and issuing the certificate, Back Office authorizes the organization to use the trademark, which can in no case be transferred to third parties;
- 6) The period of validity of the certificate shall be three years (minus one day) from the date of issue, after surveillance audits 1 and 2 have been carried out in the following two years.
- 7) Under no circumstances does the license to use the company's trademark exempt it from the guarantees and responsibilities to which it is otherwise bound by applicable law.

In case of non-issuance of the certificate, Back Office informs the organization about the decisions taken and the actions to be taken; where required, Back office notifies the accreditation body of the failure to issue the certification.

The certificate is issued with the date of issue, which coincides with the date of the decision manager's decision. The certificate is issued according to the prescribed forms (Annex 1); In the case of certification that would be covered by accreditation, the form to be used in this case provides for the addition of the mark of the accreditation body.

The date of issue and expiry date are expressly indicated in the certificate and its validity is subject to the positive outcome of the checks for the purpose of maintaining the certificate (Chapter 5) and their payment in accordance with the contract.

For each certification issued, a certificate containing all the information is issued.

All CB CERT certificates report the following data:

- a) Name and address of the customer where the management system is certified;
- b) Date of issue, extension or renewal of the certification
- c) Expiration date
- d) Unique identification code. A unique identification number that is automatically generated by the information system by combining the following data in sequence:
 - The date of issue of the certificate (e.g. yymmdd)
 - CB CERT offer number issued to each customer (e.g.: 00000)
 - Progressive number (e.g. 000)

The customer file identifier is therefore a numeric string with the following format: yymmdd00000000

- e) The standard including the edition/revision number
- f) The scope of the certification
- g) Name, address and logo of the certification body
- h) IAF sector
- i) In case of revision of the certificate, an indication must be inserted that allows to distinguish between the current version and the previous one, which means that the date of first issue and expiry remain unchanged, the date of issue is updated.



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1.10 Registering the certificate in the system

Information about issued certificates is listed in the list of certified organizations. That list is publicly available on the company's website www.cbcertdoo.eu. Back office updates every month and publishes the status of the certificate (valid, suspended). Back office also forwards data relating to the certificates issued and their status to:

- a) Accreditation bodies, depending on the state and type of accreditation;
- b) to third parties who request it or are entitled to it.

2. MAINTENANCE OF CERTIFICATION

2.1 Surveillance audit to maintain certification

In order to assess the compliance and effectiveness of the management system with respect to the applicable regulations/requirements, Back Office annually (every 12 months) carries out audits for the maintenance of certification, at certified organizations. Surveillance audit 1, following the initial certification, shall be carried out within eleven months from the date of issue of the certificate.

Each three-year period of validity of the certificate includes two surveillance audits to maintain the certification. At the end of the third year, an audit can be carried out to renew the certification. The requirements for renewal audits are defined in paragraph 6.3.

The dates by which surveillance audits are to be carried out are determined by the decision date taken by the Decision Manager.

Assessments for maintaining certification must be carried out within the specified deadlines, otherwise, the certification itself may be suspended.

Any deviations from the times indicated above, which must be motivated, can be agreed in advance with CB CERT.

Each audit concerns the verification of a certain part of the system, and all audits carried out during the three years of validity of the certificate ensure a complete review of its operation.

The following aspects are considered and verified during each audit:

- a) Review of all changes regarding certification;
- b) Elements for the maintenance of the management system, which make it possible to assess its effectiveness and which are at least the following:
 - i. Internal audits;
 - ii. Management system reviews;
 - iii. corrective actions;
 - iv. Complaints, disputes;
- c) Implementation and effectiveness of the corrective actions implemented by the organization to close the findings established in the preliminary audits;



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- d) The effectiveness of the management system in terms of achieving the objectives set by the organization;
- e) Progress of planned activities aimed at continuous improvement of the activities and products / services carried out by the organization;
- f) Continuous operational control;
- g) Use of the certification mark;
- h) In the case of organizations with more than one location, sites or construction sites located at an address other than their head office shall be sampled and/or selected in accordance with the relevant standards.
- i) In the case of organizations with more than one location, the planning of the control assessment shall provide for the application. The description of the activities and arrangements for carrying out control audits at the location(s) shall be set out, in detail, in the control audit plan, which Back Office provides to the organization prior to carrying out the actual audit.

At the end of the audit, the lead auditor prepares an audit report. The Supervisor verifies the report issued by the evaluation team and, if it does not make any changes, approves it. The report will be sent to Decision manager to decides the maintenance of the certification.

The validity of the certification, in addition to being subject to the positive outcome of the control checks, is also subject to their payment, as required by the contract.

2.2 Extraordinary reviews

CB CERT reserves the right, motivated in writing to the organization, to conduct extraordinary audits within the framework of the three-year audit program, for example:

- a) Following complaints or appeals, recognized as particularly significant.
- b) Following changes introduced by the organization and recognized as important by CB CERT;
- c) Following suspension of the organization's certificate
- d) Determine the implementation and effectiveness of corrective measures implemented by the organization;
- e) in case of needs that may arise during the issuance of the certificate;
- f) In order to reactivate the certificate;

In cases a), b), c), above, CB CERT reserves the right to carry out extraordinary audits even in the absence or with a short notice period.

In case of unjustified refusal of extraordinary audits by the Organization, CB CERT may initiate the certification suspension procedure.

All costs related to any additional assessments are borne by the organization; exceptions are additional checks following reports or complaints, which will be charged to the Organization only if recognized as founded by CB CERT.

At the end of the extraordinary audit, the lead auditor will provide the organization with a copy of the audit report. Supervisor checks the report issued by the evaluation team and, if it makes no changes, approves it; the report will be sent to Decision manager to decides the maintenance of the certification. The validity of the certification, in addition to being subject to the positive outcome of the control checks, is also subject to their payment, as required by the contract.



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3. EXTENSION, TERMINATION AND RENEWAL OF CERTIFICATION

3.1 Extension of certification

The organization may request changes by extending the scope of the certificate (e.g. for modification/addition of the type of products/processes/services performed under the certified management system, for the opening of an additional location, operating unit or establishment, etc.), following, where necessary, the procedure prescribed for the submission of a first application.

B issues the new certificate after a successful re-verification. The extent of this verification, which is carried out in accordance with applicable procedures, standards, guidelines and policies, depends on the significance of the required changes and may result in the repetition of the entire certification process.

3.2 Withdrawal of the certificate

The organization may request changes by reducing the scope of the certificate (e.g. for the reduction of the type of products/processes/services performed under the certified management system, for the closure of one or more locations, operating units or plants, etc.). CB CERT issues the new certificate after a successful re-verification.

CB CERT totally revokes the certificate on the basis of a specific request of the Organization or on its own initiative, if the Organization does not meet the conditions prescribed by CB CERT.

3.3 Recertification

3.3.1 Purpose

A certification recertification audit is planned and conducted to assess continued compliance with all requirements prescribed by the system standard.

The purpose of the renewal audit is:

- a) confirm the continued compliance and effectiveness of the management system in its entirety;
- b) Verify the continuous usability and validity of the management system according to the scope of certification.

The renewal audit shall consider the performance of the management system during the time period covered by the certification and shall also include a review of previous surveillance audit reports.

In the planning phase of the renewal audit, the Back office identifies, where necessary, any needs, if there have been significant changes to the management system, the organization or the context in which the management system is used (e.g. in the case of regulatory changes) and in the case of certifications issued for several standards.

In the case of organizations with more than one location, sites or construction sites located at a different address from that of the head office, they shall be sampled and/or selected in accordance with the provisions of point 4.7.5 of this Regulation.



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3.3.2 Timing

The renewal of the certification of the management system is valid for three years and is carried out according to the following indications:

- 1) The certification renewal process must be successfully completed by the expiry date indicated on the certificate; otherwise, the certification expires the next day. The renewal process includes:
 - a) Carry out an on-site renewal assessment;
 - b) Determine the implementation and effectiveness of corrective measures implemented by the organization;
 - c) Decision on renewal by Decision manager;
 - d) Reissue of the certificate and the three-year evaluation program for the maintenance of certification for the following three years;
- 2) In order for the renewal process to be completed on time for the expiry of the certificate, i.e. the on-site audit to be carried out, the decision manager's positive decision and the subsequent reissue of the certificate to be carried out, the audit must be carried out sufficiently in advance. The renewal audit must be carried out no later than 36 months (less than 1 day) from the date of issue of the certificate.
- 3) In choosing and coordinating the date(s) of the assessment(s) for the renewal audit in the envisaged period, the organization must be aware of the consequences of its choice and what this will entail in its case (see 6.3.2.1/2/3 and 6.3.4);
- 4) The Organization that intends to reapply for certification after the expiry date of the certificate must submit a new application and must carry out the entire process required for the first certification. In the case of an Organization that requests a new certification procedure within three months from the date of validity of the certificate or from the date of the revocation measure, except for cancellations for reasons related to the compliance of the management system, the initial audit for the new procedure can be carried out, after final evaluation of the CB CERT company, with the timing and with the methods provided in the audit for the renewal of the certification.

3.3.2 Implementation of the evaluation

The Renewal Audit shall include an on-site audit to determine:

- a) The effectiveness of the management system as a whole, in light of internal and external changes and its continued applicability and validity in relation to the scope of certification;
- b) Commitment shown to maintain efficiency and improve the management system with the aim of strengthening common capabilities;
- c) The operation of the management system contributes to the implementation of the policy and the achievement of the organization's goals.

The description of the activities and arrangements for carrying out renewal audits at the location(s) is set out, in detail, in the audit plan, which Lead Auditor provides to the organization prior to carrying out the audit.

At the end of the audit, the Lead Auditor issues an audit report detailing the outcome of the audit and any non-conformities.

3.3.3 Management of non-conformities and corrective actions

Findings detected during the certification renewal audit shall be managed, except in the following case: whether such deviations are detected during the certification renewal audit which would lead to the



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issuance of one or more non-conformities, or in the case of other findings the number and magnitude of which, in the opinion of the Assessment Team/Supervisor, would be such as to compromise the proper functioning of the management system and the compliance of the product with the defined requirements, in which case, the Lead Auditor shall set a deadline for the execution, verification and closure of non-conformities and corrective actions, bearing in mind that the certificate must be reissued, before its expiration date, otherwise the certificate expires.

This means that CB CERT must promptly carry out further checks to determine the closure/corrective measure of the non-compliance and the effective implementation of the corresponding corrective measures, i.e. within the time frame that will allow the subsequent issuance of the certificate. Further checks are carried out by the evaluation team, and their results are verified by the Supervisor and the Decision Manager.

The timing of the Organization to undergo extraordinary audits (on-site and/or documentary audits) is indicated in the audit report for the renewal of the certificate. The verification of the closure of the corrective measures for non-compliance and the effective implementation of the corresponding corrective measures can be carried out on site with extraordinary audits and / or verifications based on documentation according to the type of treatment and corrective measures that must be verified at the discretion of the Lead Auditor.

All costs related to any additional audits, which would be the result of deficiencies in the management system, are borne by the organization.

3.3.4 Information for recertification

Decision manager makes decisions regarding the renewal of the certification taking into account:

- a) Results of the certification renewal audit;
- b) Results of the examination of the system during the period of validity of the certification;
- c) Any complaint received

The certificate is reissued, by decision of the Decision Manager, based on the positive outcome of the renewal audit.

The date of issue and expiry date are expressly indicated in the certificate and its validity is subject to the positive outcome of the checks for the purpose of maintaining the certificate (Chapter 5) and their payment in accordance with the contract.

3.3.5 Contractual aspects

Back office sends a new offer for the renewal audit and for the following three years based on the expiration of the certification. If there have been no changes to the price lists in three years, the price will be updated to the currently valid values.

The offer-contract must be signed and forwarded to Back Office for acceptance.

The intention not to renew the certificate must be expressed in writing and communicated to CB CERT at least six months before the expiry of the certificate.

If the Organization does not intend to carry out a renewal assessment, Back Office will initiate the action to revoke the certificate at the natural expiry of the same.



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4. CHANGES TO CERTIFICATION

4.1 Changes to the certification scheme

If significant changes are introduced to the rules of the certification scheme that affect the achievement and maintenance of certification, for example following the issuance of new national or international standards, CB CERT will deal with:

- a) inform companies and interested parties;
- b) take into account the comments submitted by interested parties;
- c) determine and communicate to the companies concerned within 30 days of the date of entry into force of the changes and any adjustments that may be necessary, and agree with the companies the time necessary for their implementation;

The certified Organization must send confirmation of acceptance of what has been agreed in point or, if it does not intend to adapt to the new rules / standards, it can withdraw from the contract with written notice sent by registered mail AR within 30 days of receipt of CB CERT's communication.

Failure of the Organization to comply with the prescribed measures within the agreed time may result in suspension or cancellation of certification.

4.2 Change the certified management system

The certified organization must notify CB CERT in advance and in official form of the significant changes it intends to introduce in its management system with regard to the following points:

- a) legal, market, organizational or system-specific aspects;
- b) Organization and management (e.g. key personnel with key roles, decision-making personnel or technical staff);
- c) Contact information and location addresses;
- d) Scope of the organization's activities;
- e) Significant changes in the management system and processes

In the event of any change in the purpose and scope of the certificate, paragraphs 6.1 and 6.2 of this Regulation shall apply.

The organization will have to accept the decisions of CB CERT, which must be justified in writing, regarding the assessment procedures to be followed and the possible need to carry out an extraordinary audit, suspend the certificate or repeat the entire certification process.

The certified Organization must send confirmation of acceptance of what has been agreed or, if it does not intend to adapt to the new rules / standards, may withdraw from the contract with written notice sent by registered mail AR within 30 days of receipt of the CB CERT communication. Failure to notify CB CERT in advance or implement such changes without appropriate approval from CB CERT may result in action to suspend certification.

5. TRANSFER OF CERTIFICATES

This document provides normative criteria on the transfer of accredited management system certification between certification bodies. The criteria may also be applicable in the case of acquisitions of certification bodies accredited by an IAF or Regional MLA signatory.



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The transfer of certification is defined as the recognition of an existing and valid management system certification, granted by one accredited certification body, (here after referred to as the “issuing certification body”), by another accredited certification body, (below referred to as the CB CERT) for the purpose of issuing its own certification.

5.1 Eligibility of a certification for transfer

Only certification which is covered by an accreditation of an IAF or Regional MLA signatory shall be eligible for transfer. Organizations holding certification that is not covered by such accreditations shall be treated as new clients.

Only valid accredited certification shall be transferred. Certification which is known to be suspended shall not be accepted for transfer.

5.2 Pre-transfer review

CB CERT shall obtain sufficient informations in order to take a decision on certification. These informations shall include all the reports regarding the last certification cycle and valid certificate.

CB CERT shall carry out a review of the certification of the transferring client analyzing all the documentation received.

CB CERT shall determine the competence criteria for personnel involved in the review of documentation.

The supervisor has to review all the documentation received, he has to analyze all the following aspects and the review and its findings shall be fully documented:

- (i) confirmation that the client’s certification falls within the accredited scope of CBCERT;
- (ii) confirmation that the issuing certification body’s accredited scope falls within its accreditation body’s MLA scope;
- (iii) the reasons for seeking a transfer;
- (iv) that the certificate shown by the customer wishing to transfer certification is still valid and accredited;
- (v) all the reports regarding the last certification cycle and the status of all the correctives actions to close non-conformities;
- (vi) If these audit reports are not made available or has not been completed the organization shall be treated as a new client;
- (vii) complaints received and action taken;
- (viii) a review by the audit program established by the previous CB;
- (ix) any current engagement by the transferring client with regulatory bodies relevant to the scope of the certification in respect of legal compliance.

5.3 Transfer of Certification

CB CERT shall not issue certification to the transferring client until it has verified the implementation of corrective actions in respect of all outstanding non-conformities;

If where the pre-transfer review identifies issues that prevent the completion of transfer CB CERT shall treat the transferring client as a new client. The justification for this action shall be explained to the



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transferring client and shall be documented by the accepting certification body and the records maintained.

Supervisor carry out the pre-transfer review and if all the documentation is applying the requirements of IAF Mandatory Document (IAF MD2: 2017) the Decision Manager take the decision to issue the certificate (CBCert_18 TRANSFER FORM).

If no problems are identified by the pre-transfer review, the certification cycle shall be based on the previous certification cycle and Back Office shall establish the audit program for the remainder of the certification cycle.

Where CB CERT has had to treat the client as a new client as a result of the pre-transfer review, the certification cycle shall begin with the certification decision.

When requested, the issuing certification body shall provide to the accepting certification body all the documents and information required by this document.

CB CERT and/or the transferring client shall contact the accreditation body that accredits the issuing certification body where the issuing certification body has not provided the requested information to CB CERT or he suspends or withdraws the transferring client's certification without cause.

Once CB CERT has issued the certification, Back office shall inform the issuing CB by e-mail.

6. PRICES

The prices applicable to certification activities are determined by the company CB CERT based on criteria that allow to ensure sufficient profit, or profit to the extent that allows the maintenance of independence in the realization of the company's activities and their continuous improvement, which will ensure competitive advantages for both the Organization and the CB CERT company.

To any organization interested in certification, Back Office will prepare and send an offer-contract with all the information relating to the activities and prices taken from the price lists in force.

7. SUSPENSION OR REVOCATION OF CERTIFICATION

7.1 Suspension of certification

CB CERT has the right to suspend the certification obtained for a maximum of 6 months, based on serious reasons given in writing and sent to the organization by registered mail or e-mail. The suspension can be applied, for example, in the following cases:

- a) if the organization refuses or obstructs the carrying out of verifications within the time limit set; if the organization does not handle complaints properly;
- b) If the surveillance audits for the maintenance of certification reveal serious irregularities in the system, but in the opinion of CB CERT, these would not be such as to lead to the immediate withdrawal of the certification;
- c) if the organization does not comply with the corrective measures envisaged for the resolution of non-conformities/observations;
- d) if the organization does not comply with the deadlines for reporting corrective measures;



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- e) If the Organization does not act to the satisfaction of CB CERT, in the event of misuse of the certificate and/or logos;
- f) If the organization acts contrary to the provisions of this regulation or the standards that apply to schemes/sectors/areas;
- g) if the organization makes such a request for valid reasons;
- h) If the Organization introduces significant changes to the management system without the necessary communication to CB CERT or without its approval;
- i) if the organization does not take care of adapting its management system to the new provisions; whether well-founded and serious complaints have been identified and forwarded to CB CERT;
- j) If evidence is found that the organization's management system does not ensure compliance with binding legislation and regulations that would be to be applied to the products and services provided by the organization;
- k) in case of non-notification of convictions, judicial proceedings, complaints or oppositions, concerning the mandatory requirements applicable to the activities covered by the certified system;
- l) In the event that such conflicts of interest occur during the performance of the certification activity, which result in the unacceptability of the risk of impartiality in maintaining certification, or in the event that a serious risk is detected that decisions on certification would not be based on adequate objective evidence;
- m) In case of non-payment of the fees due by the Organization to CB CERT within the contractually established terms.

In case of suspension, Back Office will officially notify the Organization by registered mail or other equivalent means, and at the same time will also provide it with the conditions under which the suspension can be canceled, as well as the conditions that the Organization must fulfill within a certain period so that the certification returns to be fully valid and is not definitively revoked.

CB CERT reserves the right to notify the accreditation authorities (within 30 days of the suspension of certification) and / or other third parties who request it, the suspension measure and to publicly announce the suspension of certification with a specific notice on its website. If the Organization meets the conditions prescribed by CB CERT within the prescribed time, the suspension will be canceled and the Organization will be informed. Otherwise, CB CERT will cancel the certificate or reduce its purpose, in case of partial suspension.

The suspension period shall not affect the dates of the annual certification audit audits, which shall be carried out within the timeframe foreseen in the three-year audit program.

7.2 Withdrawal of certification

CB CERT has the right to revoke the certification based on very serious reasons, which must be communicated in writing and sent to the organization by registered mail and is not required to suspend it. This can happen, for example, in the following cases:

- a) If the Organization does not meet the conditions prescribed by CB CERT for the cancellation of the suspension of certification.
- b) whether surveillance audits revealed serious and repeated systemic weaknesses;
- c) if the verifications and the entire certification renewal process have not been successfully completed by the expiry of the certificate;
- d) If the organization were to suspend the production and offer of the products/services specified in the certificate for a longer period of time (within a period of 12 months);



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- e) If the CB CERT changes the rules of its certification system and the organization does not comply with the new requirements;
- f) If the organization repeatedly fails to comply with the rules on fair handling of complaints;
- g) If the organization acts contrary to the agreements entered into with CB CERT, or submits an official request made to do so; if the Organization waives its certification in writing before or when the certificate expires; if the Organization has not intended to renew the certification and has not accepted the execution of the third surveillance audit in order to maintain the natural maturity of the certificate;
- h) In case of conviction of the organization for acts concerning the failure to comply with the mandatory requirements of the system subject to certification.

CB CERT reserves the right to publicly announce the revocation of the certificate (for example, by deleting the organization from the list of certified organizations on its website) and reserves the right to notify the accreditation bodies and / or other third parties who request the revocation measure. An organization wishing to reapply for certification after revocation must submit a new application and complete the entire process.

In case of withdrawal, the company undertakes to:

- a) return to CB CERT the original of the valid certificate of conformity;
- b) not to use copies or reproductions of the Certificate;
- c) delete any reference to certification from technical and advertising documentation;
- d) not to use the CB CERT compliance logo;
- e) CB CERT may prescribe additional protective measures, which it defines on a case-by-case basis.

If the Organization continues in any way to refer to the certificate after the certificate has been revoked, CB CERT may take appropriate legal action.

7.2.1 Return of withdrawn certificates

Upon receipt of the notice of revocation provided by CB CERT, the Organization undertakes to return the revoked certificate as soon as possible to CB CERT.

Attachment: CBCert_49 Management system certification process flow