



General Rules for Management Systems certification

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Technical rules



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CHAPTER 1- GENERAL

1.1

These Rules describe the procedures applied by IWZ for the certification of Management Systems and how organizations can apply for obtain, retain and use this certification, as well as its possible suspension and revocation.

The present regulation can be downloaded from the company' site www.iwzint.com.

1.2

IWZ issues certification in accordance with UNI CEI EN ISO/IEC 17021:2015 to organizations whose Management System has been recognized as conforming to all the requirements of the reference standard or regulatory document. For every standard relative to a Management System, IWZ follows the directives indicated within the reference norms and trains / informs its auditors through constantly updated operating instructions.

1.3

Certification is open to all Organizations and does not depend on whether they belong to an association or group. IWZ applies its current certification fees and guarantees fairness and uniformity of application. IWZ is entitled to refuse requests for certification by organizations that have been subject to, or whose production or activities have been subject to restriction, suspension or proscription by a public authority. When IWZ decline an application, the reasons shall be communicated to the client.

1.4

The certificate issued by IWZ pertains exclusively to a single organization, where organization means a group, company, enterprise, body or institution, or parts and combinations thereof, whether associated or not, public or private, with its own functional and administrative structure. For organizations with more than one operating unit, each operating unit can be defined as an organization.

1.5

The participation of observers in audit is agreed in advance between IWZ and the organization.

Aiming to verify that the evaluation methods adopted by IWZ are compliant with the reference standards, the Body guarantor of issued certificates (Accreditation Body) may request:

- the participation of its observers to the audits carried out by IWZ,
- the execution of audits at the certified Organization, directly making use of its own personnel.

The participation of observers to the audits and/or any audit directly carried out making use of Accreditation Body's personnel must be previously agreed upon between IWZ and the Organization.

If the Organization does not grant its approval, the validity of the certificate is suspended until the audit is approved, for up to 3 months. After the three months' period has elapsed, in the absence of any audit approval, the certificate will be revoked.

The auditing modalities adopted by Accreditation Bodies are written in specific rules and/or communications/circulars available on their websites.

The Organization shall make the documentation taken as reference by IWZ during the previous audits available to the Accreditation Body.

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1.7

The terminology used in these Rules complies with UNI CEI EN ISO/IEC 17000:2005.

CHAPTER 2-REFERENCE STANDARD / CERTIFICATION REQUIREMENTS

2.1

Organizations wishing to obtain IWZ certification for their Management System must first and henceforth satisfy the requirements of the reference standard or regulatory document and those indicated in the following paragraphs of this chapter, together with any additional elements indicated by the accreditation bodies.

During its accreditation activities, in fact, IWZ must abide by certain reference documents issued by the accreditation bodies. These documents can be obtained from IWZ or directly from the accreditation bodies (consulting their Internet sites, for example).

2.2

In particular, in order to obtain Management System certification, the organization must:

2.2.1

Have established a Management System and kept it active in total compliance with the requirements of the reference standard or regulatory document. The management system is considered as being fully operative when:

- the internal audit system has been fully implemented and its effectiveness can be demonstrated;
- at least one management review of the system has been carried out and documented;
- the objectives and processes required to obtain results have been developed;
- monitoring activities and measurements have been performed and registered;
- actions for continuous improvement have been implemented.

2.2.2

Have prepared documented information:

- required by the reference standard;
- deemed necessary by the Organization to ensure the effectiveness of the management.

All the information received from the customer organization is treated as confidential, even though IWZ aims to avoid carrying away any document from the client and evaluate the whole system during the audit.

2.3

Conformity of the Management System with the reference standard is verified by means of an audit program comprising:

- an initial audit in two stages
- a surveillance audit in the first year
- a surveillance audit in the second year
- a certification renewal audit in the third year.

The following are considered when establishing the audit program: the size of the organization, the scope and the complexity of the Management System, the products and processes, the level of effectiveness of the Management system and previous audit results, and any certificates already issued to the customer or other audits already performed.

CHAPTER 3-INITIAL CERTIFICATION**3.1**

Organizations wishing to obtain IWZ certification for their Management System must complete the certification application, and from the site they can contact IWZ to request to receive the certification application form. In particular, the informative questionnaire requires information to be provided on:

- the requested scope of certification;
- the standard or standards to which the Organization wishes to be certified, and any admissible exclusions;
- the general characteristics of the Organization;
- the number of permanent and temporary sites subject to certification, including the name and addresses of the physical location/s and the relative activities performed;
- any relationships with other larger companies;
- all the processes outsourced by the organization that may affect conformity with requirements;
- any certificates already obtained;
- use of any consulting services connected with the management system.

This information has to be provided by an authorized representative of the applicant organization. On the basis of this information, IWZ prepares a suitable offer.

3.2

Prior to performing the audit, IWZ makes sure:

- a) there is sufficient information concerning the applicant organization and its management system to perform the audit;
- b) certification requirements are clearly established and documented and are sent to the applicant organization;
- c) every difference of interpretation between IWZ and the applicant organization has been eliminated;
- d) IWZ has the skills and capacity to perform certification activities;

3.3

If organizations accept the offer, they must make their application official by sending IWZ the offer, indicating the reference standard and, if relevant, any other reference standard document according to which certification is requested.

On receipt of the application for certification once ensured they are complete, IWZ will send the organization written acceptance (via e-mail) of its application.

The organization's request, which makes specific mention of these rules, and its acceptance by IWZ, contractually formalize the relationship between IWZ and the organization, and the applicability of specific reference standards applicable to the scheme for which certification is required.

The offer signed between IWZ and the organization includes:

- the initial audit comprising two stages and, if the outcome is successful, the issue of the certificate;
- subsequent surveillance and recertification audits;
- any additional services specified in the offer, including the pre-audit, if requested by the organization.

3.4

Together with or following the certification request, the Organization must make the following documents

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available to IWZ:

- the documented information required by the reference standard and / or deemed necessary by the Organization to ensure the effectiveness of the management system;
- copy of company's registration certificate or an equivalent document, certifying the existence of the organization and describing the activity it performs;
- organization chart;
- site plan/s;
- latest Management Review;
- internal audit planning;
- list of the main applicable laws and/or rules (to the product/service supplied or required for the correct application of the Management System);
- list of current sites, describing the activities performed there, where applicable.

IWZ may ask, at its discretion, to examine other documents, apart from those previously mentioned, that are considered to be important for assessing the Management System.

IWZ examines the above documents for conformity with the reference standard and these Rules.

3.5

The initial audit comprises two stages:

- Stage 1 audit, which can be performed:
 - partly in the office and partly at the organization's site or
 - entirely at the organization's site
- Stage 2 audit
 - on site.

During the initial audit, the organization must demonstrate that the Management System has been fully operational and that it effectively applies the system.

If any significant changes which would impact the management system occur, IWZ can consider the need to repeat all or part of stage 1. In this case, IWZ inform the Organization if the results of stage 1 may lead to postponement or cancellation of stage 2.

3.6

After the satisfactory completion of the initial audit and after a positive certification decision by IWZ, a Certificate of Conformity with the reference standard, valid for three years, is issued for the Management System in question.

In case of negative completion of the initial audit or after a negative certification decision, IWZ could refuse to certify the Organization. When IWZ refuse to certify, the reasons shall be communicated to the client. The validity of the certificate is subject to the result of the subsequent annual surveillance audits and the three-yearly recertification of the Management System.

The frequency and extension of the subsequent audits for maintaining certification are established by IWZ on a case-by-case basis by drawing up a three-year audit plan which it sends to the organization.

For details on the management and validity of the certificates of conformity issued by IWZ, see chapter 7.

CHAPTER 4-MAINTAINING VALIDITY OF THE CERTIFICATE

4.1

The organization must ensure its Management System continues to comply with the Reference Standard or regulatory document.

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4.2

The organization must record any claims and the relative corrective action implemented and must make these records available to IWZ together with the corrective action taken to address the non-conformities made during the periodic audits (as described in Par. 6.1.4).

4.3

IWZ performs periodic audits on the Management System in order to evaluate whether it remains compliant with the requirements of the reference standard, according to the methods described in Chapter 6.

4.4

IWZ also reserves the right to perform additional audits with respect to those established in the three-year program, without notice, at the organization:

- if it receives claims or reports, considered to be particularly significant, relative to the non-compliance of the Management System with the requirements of the reference standard and of these Rules;
- in relation to changes taking place in the organization;
- to organizations whose certification has been suspended.

IWZ shall exercise additional care in the assignment of the audit team because of the lack of opportunity for the organization to object to audit team members.

If the organization refuses without a justified reason, IWZ start the suspension/withdrawal certification process.

If IWZ considers the claims and reports to be justified, the cost of the supplementary audit will be charged to the organization.

4.5

The validity of the certificate is confirmed following the successful outcome of the surveillance audit.

4.6

In the case of major non-conformities or minor non-conformities (type B findings) whose number in the opinion of the audit team is such as to impair the correct functioning of the system, the organization will be subject to a supplementary audit within the time limits established by IWZ in relation to the importance of the non-conformities and, in any case, not more than six months after the end of the audit in order to check the effectiveness of corrections and of the proposed corrective action.

If the major non-conformities are not eliminated within the established times or if the minor non-conformities do not assure the supplied products/services satisfy customer requirements and applicable law, IWZ may suspend certification until these major non-conformities have been eliminated and, in any case, as specified in chapter 11.

All costs relative to any supplementary audits deriving from shortcomings in the Management System will be charged to the organization.

CHAPTER 5-RECERTIFICATION**5.1**

For the recertification audit of the Management System, performed every three years, IWZ must contact customer about three months before the date indicated on the three-year audit plan in its possession, and send an updated and complete copy Certification application **A&FO_01** in order to allow IWZ to plan the

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activity and agree on the date of the recertification audit.

5.2

The recertification audit sets out to confirm maintenance of the conformity and effectiveness of the overall Management System and is mainly based on an audit to perform on-site, generally, using the same criteria as the stage 2 audit.

5.3

Usually, the recertification procedure must be successfully terminated before the expiry date indicated on the certificate. This date cannot be extended by IWZ.

Consequently, the recertification audit must be successfully terminated in sufficient time to allow IWZ to approve the recertification proposal and reissue the certificate within the above date (at least one month before the expiry date indicated on the certificate).

If the organization fails to abide by the above deadlines and does not obtain the reissued certificate within the date of expiry, the certificate must be considered as expired starting from the day after the date of expiry indicated on the certificate.

Organizations intending to obtain certification following the expiry of the certificate must present a new application and, generally, repeat the entire initial certification procedure.

5.4

In the case of major non-conformities or minor non-conformities whose number in the opinion of the auditing team is such as to impair the correct functioning of the management system, the organization must effectively implement the relative corrections and corrective actions before the date of expiry of the certificate of conformity.

This means that IWZ must perform the supplementary audit to verify the elimination of these non-conformities (major or minor) in sufficient time for the subsequent issue of the certificate.

The established times within which the supplementary audit must be performed are indicated in the recertification audit report. The auditing team may decide to perform the supplementary audit on site or on the documents, depending on the type of corrective action involved. All costs relative to any supplementary audits deriving from shortcomings in the Management System will be charged to the organization.

5.5

Following the satisfactory completion of the recertification audit, the review of the management system results during the certification period and of any claims received from certification users, IWZ reissues the certificate of conformity. Confirmation of recertification approval by IWZ with consequent issue of the certificate is sent to the organization in writing. For details on the management and validity of the certificates of conformity issued by IWZ, see chapter 7.

CHAPTER 6-PERFORMANCE OF AUDITS

6.1-GENERAL

6.1.1

The dates of the surveillance audits are agreed with the organization. An "Audit Plan" is drawn up for each audit according to ISO 17021: 2015 which is sent to the customer organization in good time. IWZ also uses the Audit Plan to inform the Organization of the names of the auditors and technical experts appointed to perform the audit, chosen on the basis of the skills required to perform the audit; the Organization may object to the appointment of these auditors provided it gives a justified reason.

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The audit has the following objectives:

- a) Determination of the conformity of the client's management systems, or part of it, with audit criteria;
- b) Evaluation of the ability of the management system to ensure the client organization meets applicable statutory, regulatory and contractual requirements;
NOTE: A management system certification audit is not a legal compliance audit
- c) Evaluation of the effectiveness of the management system to ensure the client organization is continually meeting the specific objectives;
- d) As applicable, identification of areas for potential improvement of the management system.

The Audit Plan indicates the tasks assigned to each auditor. In particular, for each organization:

- a) the structure, policy, processes, records and relative documents relative to the Management system must be examined and checked;
- b) it must be established whether these satisfy the requirements applicable to the scope of certification;
- c) it must be established whether the processes and documented information are drawn up, implemented and kept efficient, in order to nurture trust in the Organization's management system;
- d) every inconsistency between the customer's policy, objectives and goals and the result obtained must be reported to the customer in order to allow it to take appropriate action.

6.1.2

Each auditor shall be accompanied by a guide appointed by the organization to facilitate the audit performance and that can have the following responsibilities:

- a) establishing contacts and timing for interviews;
- b) arranging visits to specific parts of the site or organization;
- c) ensuring that rules concerning site safety and security procedures are known and respected by the audit team members;
- d) witnessing the audit on behalf of the client;
- e) providing clarification or information as requested by an auditor

6.1.3

A written report is prepared for each audit indicating any major non-conformities, minor non-conformities and improvement recommendations. A copy of the report is sent to the customer organization; the original audit report is owned by IWZ.

The organization may indicate any reservations or comments concerning the findings by the IWZ surveyors in the relative space in the audit report.

6.1.4

After analyzing the reasons for any major or minor non-conformities indicated in the above report, the Organization must, within the data indicated on the report, inform IWZ of its proposals for handling the non-conformities, as well as the corrective action required and the dates envisaged for its implementation.

The organization fill in the relative part in the Audit report and then return the form to IWZ

IWZ will review the correct proposals submitted by the customer organization and communicate acceptance issuing the certificate.

6.1.5

In the event of major non-conformities, the certification process is suspended; in the event of minor non-

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conformities the number of which, in the audit team's judgement, may compromise the efficiency of the management system, the certification process is also suspended.

In these cases, a supplementary audit must be performed within six months in order to check the effectiveness of corrections and of the proposed corrective action; if this audit is successful the certification process will be resumed.

The auditing team may decide to perform the supplementary audit on site or on the documents, depending on the type of corrective action involved.

All costs relative to any supplementary audits deriving from shortcomings in the Management System will be charged to the organization.

6.2 INITIAL CERTIFICATION AUDITS

The initial certification audit is divided into two stages.

6.2.1 -Stage 1

Stage 1

The stage 1 audit sets out to:

- audit the customer's Management System documents;
- assess the location and special conditions of the customer's site and exchange information with the customer's staff in order to establish the level of preparation for the Stage 2 audit;
- review the customer's state and understanding of the standard, especially as regards the identification of key performances or significant aspects, processes, objectives and operation of the Management System;
- obtain the necessary information concerning the scope of the Management System, the processes and the location/s of the customer, including the relative legal and regulatory aspects and conformity with same;
- review the allocation of resources for the stage 2 audit and agree on the details of the stage 2 audit with the customer;
- develop stage 2 audit planning, acquiring sufficient knowledge of the Management System and of the activities performed on the customer's site, as regards possible significant aspects;
- assess whether the internal audits and management review have been planned and performed and whether the level of implementation of the Management System proves that the customer is ready for the stage 2 audit. The outcome of stage 1 of the audit is communicated to the Organization, among other things, indicates any findings, including those that could be classified as non-conformities (major or minor) during stage 2 of the audit and therefore considered critical for obtaining certification.

The actions taken by the organization to eliminate these findings are generally checked during the stage 2 audit referred to in point 6.2.2.

Any findings classified as critical by the technicians who identified them during stage 1 of the audit, must be eliminated before proceeding with stage 2 at the organization's site; if stage 1 and stage 2 are performed consecutively, stage 2 must be rescheduled and postponed.

At least part of stage 1 will be performed at the organization's site/s.

6.2.2 – Stage 2

Stage 2 of the audit must be performed within 6 months from termination of stage 1, otherwise stage 1 must be repeated. In special cases, IWZ may decide to extend this limit to 12 months.

Stage 2 of the audit is performed at the organization's site in order to check the correct and effective implementation of the Management System.

Before conducting the stage 1 audit, IWZ sends an audit plan to the site/s of the organization giving a detailed

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description of the activities and the requirements for conducting the audit

If the organization performs its activities on more than one operative site, the audit will be performed according to criteria established by IWZ and communicated to the Organization.

The stage 2 audit is performed by qualified IWZ auditors, on the basis of the stage 1 audit and of the documented information prepared by the organization for the proper and effective implementation of the management System.

The stage 2 audit comprises the following main points:

- an initial meeting with the Top Management, and when appropriate, with those who are responsible for the functions or processes to be audited, in order to explain and confirm the audit objectives and audit methods indicated in the audit plan;
- verification that the corrective action relative to the findings identified during stage 1 of the audit have been effectively implemented;
- an inspection of the production site/s of the organization to verify conformity of the Management System with the reference documents and its complete implementation;
- a closing meeting to present the audit conclusion.

In the event of major non-conformities, the certification process is suspended; in the event of minor non-conformities the number of which, in the audit team's judgement, may compromise the efficiency of the management system, the certification process is also suspended.

In these cases, a supplementary audit must be performed within six months in order to check the effectiveness of handling and of the proposed corrective action; if this audit is successful the certification process will be resumed.

The auditing team may decide to perform the supplementary audit on site or on the documents, depending on the type of corrective action involved.

All costs relative to any supplementary audits deriving from shortcomings in the Management System will be charged to the organization.

If this deadline is exceeded, the Organization's Management System shall be submitted within a period of twelve months from the end of stage 2 audit, to an audit using the criteria (modalities and time) required for stage 2 audit.

After the twelve-month period has elapsed and the situation still remains negative, IWZ reserves the right to definitively close the certification file and charge the time spent and expenses incurred up to that moment.

In such a case, if the organization wishes to proceed with IWZ certification, it must submit a new application and repeat the certification procedure.

In special cases, the above time limits may be modified at the request of the organization, if considered justified by IWZ.

6.3 DECISION MAKING COMMITTEE EVALUATION

Decision-making committee: composed by qualified persons, with skills and recognitions similar to those of the Team Leader. They check and verify the activities carried out by the Team Leader, and approves, suspends or requests additions and / or changes before the final certificate issuance to the company customer. They are always different persons from the Team Leader entrusted to the reference practice.

At the end of the verification by the Team Leader, the Audit report correlated by any documented information that the TL has deemed necessary to collect as evidence, is sent to the Decision-Making

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Committee specifically in charge for the practice, which will evaluate what emerged during the audit and will approve or reject the certification process.

The documents produced during the audit are checked by the commission to ensure that the process has been carried out in its entirety without conflicts of interest or impartiality.

The commission has the right to approve or reject the certification process when conflict of interest is detected. The audit effectiveness will be verified and evaluated within the “AR_06 Audit report review” form. Once the evaluation of the commission has been passed, the certification can be considered valid and effective.

6.4 SURVEILLANCE AUDITS

6.4.1

IWZ performs periodic audits on the Management System in order to evaluate whether it remains compliant with the requirements of the reference standard, at least once every 12 months. The date within which the audits must be performed is indicated in the three-year audit program in the organization's possession.

This program may be modified by IWZ according to the results of the previous surveillance audits.

Deviations surveillance audits beyond these limits, for justified reasons, must be agreed in advance with IWZ and be recovered at the first subsequent audit.

In any case, the first surveillance audit following initial certification must be performed within 12 months from the first issue date of the certificate.

6.4.2

Surveillance audits are performed at the organization's site/s, according to a three-year program which enables each item contained in the reference standard according to which the Management System was certified to be audited at least once during the three years of validity of the Certificate, bearing in mind the documents as per point 3.4.

The following aspects will be considered during the surveillance audits:

- a) internal audits and management reviews;
- b) review of the action taken as a result of the non-conformities identified during the previous audit;
- c) claims handling;
- d) effectiveness of the management system as regards achieving of objectives;
- e) progress of activities implemented to promote continual improvement;
- f) continual operative control;
- g) a review of any changes.

6.5 RECERTIFICATION AUDIT

6.5.1

The recertification audit is performed at the organization's site/s in order to confirm the continual conformity and effectiveness of the overall management system, as well as the continual relevance and applicability of the scope of certification. It mainly comprises an audit of a site normally performed using the same criteria as stage 2 of the audit.

In particular, the recertification audit comprises an on-site audit which considers, among other things, the following aspects:

- the performance of the management system in the certification period
- a review of the previous surveillance audit reports.

If significant changes have been made to the Management System or to the context in which the Management System operates, a stage 1 audit may be required.

The recertification audit must ascertain the following:

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- the effectiveness of the overall Management System in the light of internal and external changes and its continual pertinence and applicability for scope of the certification;
- the commitment demonstrated in maintaining the effectiveness and improvement of the Management System in order to improve overall performance;
- if the effectiveness of the Management System contributes towards the pursuit of the organization's policy and objectives.

CHAPTER 7-MANAGEMENT OF CERTIFICATES OF CONFORMITY

7.1

The certificate of conformity issued by IWZ, which is the proprietary of the same, is valid for three years starting from the date of approval by IWZ of the initial certification or recertification proposal.

7.2

From the moment of issue of the certificate by IWZ, this and the relative three-year audit program will be made available to the organization. The organization may therefore receive the program from IWZ.

7.3

The validity of the certificate, throughout the three years of validity, is subject to the results of the subsequent surveillance audits.

The certificate of conformity is reissued following the successful outcome of each recertification audit, as indicated in chapter 5 here to. The validity of the certificate may be suspended, withdrawn or relinquished in accordance with the contents of Chapters 11 and 12. IWZ directly publishes and updates the following on its website www.iwzint.com:

- a) the list of certified organizations;
- b) status of validity of the certificates issued, indicating valid, suspended or invalid for each certificate;

CHAPTER 8-MODIFICATION OF CERTIFICATION AND COMMUNICATION OF CHANGES

8.1

An organization in possession of certification may request a modification or extension by presenting a new certification application, accompanied by the duly updated documentation indicated in point 3.4. IWZ reserves the right to examine requests on a case-by-case basis and to decide the evaluation methods for the purpose of issuing a new certificate according to the reference standard or regulatory document for the management system.

8.2

The organization must promptly inform IWZ of any changes in factors that may affect the capacity of the Management System to continue to satisfy the requirements of the standard used for certification.

This requirement concerns, for example, modifications to:

- the legal, commercial, organizational or ownership status;
- organization and management (e.g.: key managers or technical staff, decision making process, change in number of employees.);
- contact addresses and sites;
- field of application of the activities covered by the certified management system;
- significant changes in the management system and processes.

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IWZ reserves the right to perform additional audits or other actions on the organization if the modifications communicated are considered particularly significant as regards maintaining the conformity of the Management System with the requirements of the reference standard and of these rules or to review the economic conditions for the possible modification of the contract.

8.3

IWZ promptly informs the organization of every change in the reference standards or IWZ certification rules.

8.4

IWZ reserves the right to conduct audits of certified Organization at short notice or unannounced to investigate complaints, or in response to changes, or as follow up on suspended clients.

CHAPTER 9-SPECIAL REQUIREMENTS FOR MULTI-SITE ORGANIZATIONS**9.1**

If an organization operates on more than one permanent site and a single certificate is required, audit activities can be performed by sampling the sites subject to audit, provided:

- The processes of all the sites are substantially of the same type and are performed using similar methods and procedures. If different processes are performed in different places, these must be connected (e.g.: manufacture of electronic components in one place, assembly of these components performed by the same Organization in various other places);
- The management system is managed and administrated centrally and reviewed by central management.

The organization must also demonstrate that the central office has established a management system compliant with the reference standard and that the entire organization satisfies its requirements. In particular, at least the following activities must be managed by the central function of the organization:

- evaluation of training requirements;
- control and modification of documents;
- management review of the Management System;
- complaints management;
- evaluation of the effectiveness of corrective and preventive action;
- planning and execution of internal audits and assessment of results;
- presence of different legal requirements.

Prior to the initial audit by IWZ, the Organization must have performed an internal audit on each site and verified the conformity of its management system with the reference standard.

9.2

If the organization observes the previous requirements, IWZ always checks the feasibility of sampling on all the sites and may decide whether to limit this sampling in the presence of:

- requirements connected with variable local factors;
- sectors or activities within the scope of certification;
- dimensions of the sites suitable for a multi-site audit;
- changes in the local implementation of the management system, such as the need to frequently use, in the sphere of the management system, plans concerning different activities or different

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- contractual or regulatory systems;
- use of temporary sites.

For organizations providing services, if the sites in which the activities subject to certification are not all ready to be presented for certification at the same time, the organization must promptly inform IWZ which sites it wishes to be included in the certification and those that must be excluded.

9.3

On the basis of the information provided by the organization, IWZ establishes the applicable sampling plan. This activity is generally performed during the audit process and may also be performed after the audit is completed at headquarters. In any case, IWZ informs the central office which sites must be included in the sample.

9.4

IWZ issues a single certificate with the name and address of the headquarters of the organization. A list of all the sites to which the certificate refers is indicated in an annex or on the certificate.

The organization may be issued with an extract of the certificate for each site covered by certification, provided it indicates the same purpose or a sub-element, and includes a clear reference to the main certificate.

9.5

For any non-conformities (major or minor) found on one site during audits, the organization must investigate to determine whether the other sites may be affected and, therefore, it must adopt corrective action both at headquarters and at the other sites.

If, instead, the non-conformities (major or minor) and/or recommendations are not of the same type, the Organization must provide suitable evidence and reasons for limiting its corrective follow-up actions.

If major non-conformities are found even on just one site, the certification process is suspended for the entire network of listed sites, until these non-conformities have been corrected and, in any case, in accordance with the contents of point 11.1. The Organization may not exclude this/these site/s from the scope during the certification process to avoid the obstacle created by the existence of a major non-conformity.

9.6

The organization must inform IWZ of the closure of any site covered by certification. If this information is not communicated, IWZ may decide whether to proceed according to the contents of point 11.1.

Additional sites can be inserted in an existing certificate following surveillance or recertification audits or following specific extension audits.

CHAPTER 10-TRANSFER OF ACCREDITED CERTIFICATES**10.1**

If an organization with a valid certificate issued by another Management Certification Body that is party to the IAF/MLA mutual recognition agreement, wishes to transfer its certification to IWZ, it must send IWZ the application for certification as per point 3.1, and copy of the management system certificate.

IWZ, after verifying that:

- the certificate is valid;
- the certificate is not suspended;
- accreditation of the Certification Body that issued the certificate is not suspended;
- the client's certified activities fall within the accredited scope of IWZ;
- the organization has motivated the request of transfer issue an offer for the transfer of certification. If it accepts the economic offer, the organization must send IWZ the "Certification request" together with the following documents:
 - Copy of the certification audit report or the last recertification audit report and of the subsequent surveillance audit reports;
 - evidence of the corrective action taken related to the non-conformities issued during the previous audit, or the evidence of the review, acceptance and verification of the effectiveness by the previous Certification Body;
 - the type and date of the next audit planned by the previous Certification Body;
 - list of any complaints received and the relevant actions taken;
 - the reasons for the certification transfer request;
 - any observations or reports by national or local authorities;

The check of the above documentation usually includes an audit to the Organization requesting transfer of its certificate. The contract between IWZ and the applicant is managed as indicated in paragraph 3.1, depending on the scope of the auditing activities.

After the satisfactory completion of the above activities, a Certificate of Conformity of the management system is issued which generally maintains the deadline established by the body which issued the previous certificate.

Generally speaking, surveillance and recertification audits are also performed according to the plan established by the organization that issued the previous certificate.

In the case where the conditions for the transfer are not met, the transfer process cannot be applied; if the organization intends to continue with the certification process will be evaluated using the criteria set out in Chapter 3, "INITIAL CERTIFICATION".

10.2

Only certification which is covered by an accreditation of an IAF or Regional MLA signatory at level 3 or higher will be considered eligible for transfer (as stated in the IAF website appropriate section: iaf.nu/en/recognised-abs). Organizations holding certification that is not covered by such accreditations will be treated as new clients.

Only valid accredited certification will be considered for a transfer procedure.

In cases where certification has been granted by a certification body which has ceased trading or whose accreditation has expired, been suspended or withdrawn, the transfer will be completed within 6 months or on expiration of the certification whichever is sooner.

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10.3

IWZ as an accepting certification body will, in order to take a decision on certification, perform a review on the information from the client and the transferring certification body and inform the transferring client of the process.

The individual or group conducting the pre-transfer review have the same competence that is required for an audit team appropriate for the scope of certification being reviewed.

The review will cover the following aspects and the review and its findings will be fully documented:

- confirmation that the client's certification falls within the accredited scope of the issuing and accepting certification body;
- confirmation that the issuing certification body's accredited scope falls within its accreditation body's MLA scope;
- the reasons for seeking a transfer;
- that the site or sites wishing to transfer certification hold a valid accredited certification;
- the initial certification or most recent recertification audit reports, and the latest surveillance report;
- the status of all outstanding nonconformities that may arise from them and any other available, relevant documentation regarding the certification process.
- complaints received and action taken;
- considerations relevant to establishing an audit plan and an audit programme. The audit programme established by the issuing certification body will be reviewed if available; and
- any current engagement by the transferring client with regulatory bodies relevant to the scope of the certification in respect of legal compliance.

10.4

In accordance with clause 9.5.2 of ISO/IEC 17021-1:2015, IWZ when referred as an accepting certification body will not issue certification to the transferring client until:

- it has verified the implementation of corrections and corrective actions in respect of all outstanding major nonconformities; and
- it has accepted the transferring client's plans for correction and corrective action for all outstanding minor nonconformities.

Where the pre-transfer review (document review and/or pre-transfer visit) identifies issues that prevent the completion of transfer, the transferring client will be treated as a new client.

The normal certification decision making process in accordance with clause 9.5 of ISO/IEC 17021-1:2015 will be followed. The personnel making the certification decision will be different from those carrying out the pre-transfer review.

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

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

IWZ will take the decision on certification before any surveillance or recertification audits are initiated.

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10.5

The cooperation between the issuing and accepting certification bodies is essential for the effective process for transfer and the integrity of certification. IWZ will cooperate with the other certification body to ensure the transfer process will be efficient.

IWZ as an accepting certification body will contact the client certification body if it:

- (i) has not provided the requested information to the accepting certification body, or
- (ii) suspends or withdraws the transferring client's certification without cause

If the information needed cannot be acquired, a suspension or withdrawal of the accreditation will be considered when the issuing certification body does not cooperate with the accepting certification body.

CHAPTER 11- EXTENSION, REDUCTION, SUSPENSION, REINSTATEMENT AND WITHDRAWAL OF CERTIFICATION**11.1**

In response to a request to extend the scope of a certification already issued, the company proceeds by implementing:

- a review of the application, which will be undertaken by the team of auditors who worked on the initial certification
- a review of the application by the General Manager who, using the contract review form (**A&FO_05 Certification application and offer review**), decides on the necessary audit activities either as a partial assessment covering only the areas of extension/reduction of the scope or a complete revaluation

These activities may be carried out together with a surveillance audit.

11.2

The company will reduce the certification's scope of application to exclude parts that do not meet the requirements, if the customer has persistently or severely failed to comply with certification requirements within the initial certification's scope of application. The scope of application reduction can also be requested by the customer, in the event that no longer carries out part of the activities reported within the scope of the initial certification in force. The reduction must always be in line with the requirements of the standard used for the certification.

11.3

The validity of the certificate of conformity is suspended as indicated in the reference norm and in the following specific cases:

- if the Organization refuses to allow the scheduled audits to be performed at the required frequencies and the special audits (short-notice audits and unannounced audits);
- if non-conformities are found in the management system which have not been corrected within the time limits established by IWZ;
- if the organization does not observe the deadlines established for the communication of corrective actions, following non-conformities/observations indicated on the audit report;
- if the organization has made far-reaching changes to its Site/s or moves to another site without informing IWZ of such changes;
- if the Organization has made modifications to its management system that have not been accepted by IWZ;
- if the organization has undergone important re-structuring and has not reported this to IWZ;
- if it refuses or obstructs the participation in audits of the observers of an accreditation body;
- for evidence that the Management System does not guarantee the respect of the laws and regulations applicable to the supplied products/services, activity and/or site/s;
- if any justified and serious claims received by IWZ are confirmed. The organization may also make a justified request to suspend certification, normally for not more than six months and in no case after the date of expiry of the certificate.

This suspension will be notified in writing (e-mail or equivalent method), stating the conditions for reinstating certification and the date by which the new conditions are to be complied with. Suspension of the validity of the certificate is made public by IWZ directly on the website www.iwzint.com as indicated in point 7.3.

11.4

Reinstatement of certification is subject to verification that the shortcomings which led to the suspension itself have been eliminated. This is achieved by means of an analytical audit checking the compliance of the Management System with all the requirements of the reference standard. It is notified to the organization in writing (e-mail or equivalent method) and made public by IWZ on its website www.iwzint.com as established in point 7.3

11.5

Failure to fulfil the conditions as per point 11.2 above by the established date will lead to revocation of the Certificate of Conformity. The Revocation of the certificate of conformity may be decided as indicated in the reference norm and in the following specific cases:

- when there are reasons such as those indicated in point 11.1 for suspension, which are held to be particularly serious;
- if the organization stops the activities or services covered by the certified Management System for over six months as a rule;
- if the organization does not accept the new contractual conditions;
- for multi-site organizations, if the headquarters or one of the sites does not comply with the criteria

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- required to maintain certification;
- for every other major reason, at IWZ's discretion, such as the proven incapacity of the system to pursue its objectives of complying with legislative, contractual or product safety requirements.

Withdrawal of the Certificate of Conformity is notified in writing (e-mail or equivalent method), to the Organization and made public by IWZ as indicated in point 7.3. Any organization which, following revocation of its Certificate, wishes to be re-certified, must submit a new application and follow the entire procedure all over again.

CHAPTER 12-RENUNCIATION OF CERTIFICATION

A certified organization may send formal communication of renunciation of certification to IWZ, before the expiry of the certificate, including the case in which the organization does not wish to or cannot conform to new provisions established by IWZ. Upon receipt of this communication, IWZ starts the procedure for invalidating the certificate.

Generally speaking, within one month from the date of the communication, IWZ updates the validity status of the certificate.

CHAPTER 13-CONTRACTUAL CONDITIONS, COMPLAINTS AND APPEALS

The contractual conditions are indicated in the certification offer and are considered accepted by the customer, once the offer is returned signed to IWZ.

Complaint process

All complaints received by IWZ Ltd, without any discrimination, are examined and handled personally on behalf of IWZ Ltd, never by external personnel, IWZ are solely responsible for any decisions taken in this regard. In the event of verbal or telephone reports, anyone who receives such a complaint must report what has been received from the customer, on the appropriate form on the model.

The complaint can be collected by anyone who is in contact with the organization or with the interested party that formulates it and must be sent to the appropriate office that registers it in the correct form.

The office registers the complaint on the registration form, in agreement with the General Manager and set up a meeting to analyze the complaint, with the presence of all the figures involved. At this meeting, the hypothetical causes of the complaint are identified.

The responsibility for verifying the implementation and resolving the complaint lies with the General Manager. In the event that the activities that are subject of the complaint involve the General Manager, or in any case in the event that the person has carried out activities at the same customer during the last two years, the practice is entrusted to another person appointed by him.

The complaint management involves:

- sending an e-mail confirming of receiving an official complaint or appeal
- the decision on the acceptance of the complaint itself and its registration on correct form, within five working days of receipt.

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Acceptance or rejection of a complaint

In the event that the complaint is accepted, the investigation is started, with the involvement of all interested parties:

- collection/verification of all necessary information,
- communication of details to interested parties within IWZ, and in the event of critical complaints, involvement of the Impartiality Committee,
- identification of the causes of the problem,
- closure of the complaint within 5 days if no further investigation is necessary
- proposal of a solution and response to the complainant within 60 days for complaints relating to certified customers, and 30 days for complaints about services rendered by IWZ.
- at the end of the management of the complaint, the outcome will be communicated to the complainant, with information on the actions chosen and the time necessary to complete them,

Complaints about client organizations

Complaints received by IWZ regarding client organizations that are certified are evaluated and analyzed to assess whether they need to be subject to additional verification. Additional checks can also be carried out in case of public knowledge of problems at client companies.

The results of these extraordinary checks are communicated to the complainant and to the accreditation bodies in accordance with the provisions of the latter's regulations and in compliance with the confidentiality constraints.

Initial examination of the appeal

All appeals received by IWZ, without any discrimination, are examined and handled by IWZ itself, which is solely responsible for the decisions taken in this regard. Appeals, relating to decisions taken in the context of IWZ's activities, must be submitted in writing with all available and relevant documentation within three months of the decision. The General Manager or his delegate, following the submission of the appeal, ascertains his possible direct involvement in the activities subject to appeal and if so, appoints an independent and qualified person for the management of the same. If not, the General Manager directly conducts an analysis of the appeal through all available documentation and consultation of the functions involved. If he considers the appeal to be justified and admissible, he shall notify the applicant thereof and take appropriate action. Otherwise, it shall inform the claimant in writing of the reasons why the appeal is not considered acceptable. This phase must be concluded by communicating the outcome to the appellant within 30 days.

The appeal can also be detected by communications of the Judicial Authority or by news in the public domain concerning the fact that the certified Organization is involved in judicial proceedings aimed at service laws. The Office collects the information which is then processed at the headquarters by the impartiality committee which becomes responsible for the management of the appeal. The decisions, to be reported to those who filed the appeal, are taken, or reviewed and approved, by personnel not previously involved in the contents of the appeal itself.

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Reserved document. It's mandatory to make sure that this version is the latest released, before applying what is described in it.

The measure can be:

- the acceptance of the appeal with consequent measures aimed at correcting the non-conformity complained;
- an additional audit, conducted by a Lead Auditor, different from that of the last audit. This eventuality is always adopted in the event that the appeal concerns the work of the Lead Auditor and / or the team of auditors who conducted the evaluation or maintenance visit;
- an assessment of the current effectiveness of the Management System considered,
- the opening of a dispute with the organization, the provision always provides for adequate publicity of the provision itself both towards the Organization and the third parties concerned.

This last point is also highlighted in the appropriate part of the form **QPM_06 "Non-Conformity report"**. A joint assessment with the customer and the complainant decides whether to advertise the subject of the complaint to third parties as well.

Confidentiality

All information and documentation collected and/or verified during the evaluation of complaints or appeals are strictly confidential. This constraint disappears in the face of IWZ's obligation to publicly disclose such information of an organization and the determinations relating to the obligations of laws and / or other requirements of the organization itself.

For more information regarding confidentiality, please refer to the confidentiality policy document **QM_03 "Confidentiality Policy"**.

