

1. Application

Requirements for starting a system certification procedure:

- The applicant shall already be familiar with this procedure, which he declares in writing in the submitted application;
- Submitted Application for an offer for a management system certification;
- Signed **Offer – Contract** for Certification between the client and the management system certification body or an Annex.

To start the certification process, the organization:

- shall have documented management policy/policies in accordance with the relevant standards;
- shall have an officially appointed management representative / when this is required/
- shall have an officially documented system
- shall have available documented information (implemented procedures and created records) required by the applicable management system standard;
- shall present the relevant permits /licenses /legislative requirements;
- the specific requirements of the relevant standards to be actually applied;
- an internal audit (s) of the whole management system shall be carried out.
- a management review to assess the effectiveness of the system shall be carried out;
- the time between the date of the official implementation of the entire system and the desired certification date to be at least 2 /two/ months.

The management systems certification body at DEDAL-AC Ltd. requires the necessary information to be provided by an authorized representative of the organization- applicant.

2. Quotations, Negotiation

The Head of Department “Management systems certification” prepares and sends to the client an **Offer - Contract**. The approved offer is realized by signing a contract by both sides.

3. Planning

After the conclusion of a contract for a certification process, the Management systems certification body plans an audit and coordinates with the client a date, team and audit program. Observers may be included in the audit team (Observation by a Lead auditor, Accreditation body observers and auditors in training).

4. Audit- Stage 1 (Review of Documentation)

At the first stage of the initial certification audit, a review of the documentation, the necessary permits /licenses /registrations and an inspection on-site for the readiness of the system (s) to perform the audit Stage 2 is carried out.

5. Audit- Stage 2 (On-site Audit)

The objective of Stage 2 is to evaluate the implementation and efficiency of the customer's management system. The audit of Stage 2 is conducted on-site at the customer and through sampling method information and evidence are collected for compliance with all the requirements of the applicable for the management system standard and the regulatory requirements related to the scope of the system, created by a legislative or other competent public authority, and the contractual requirements.

During stage 2, it is audited:

- monitoring performance, measuring and reviewing the achievement of objectives for the most important indicators and tasks
- the client's management system and the compliance with the requirements of the normative acts, created by a legislative or other competent public authority, and the contractual requirements.
- operational management of customer processes
- internal audits and management review
- management responsibility regarding the policy towards customers and interested parties

The process for conducting on-site audit includes

- Opening meeting
- Collecting evidence by means of appropriate samplings specified in the plan;
- Collecting information from different sources of information;
- Audit evidence - monitoring of activity, review of documents and records
- Assessment according to the audit criteria defined in the audit plan;
- Audit findings (documented in the Audit Report)
- Closing meeting
- Review and audit conclusions
- Reporting the results and verifying the implementation of corrective actions / if applicable

6. Non-conformities

The identified during the audit non-conformities are classified depending on the risk they pose to the operation of the management system as major and minor non - conformities as follows:

Minor non - conformities	Major non - conformities
Deviations that show: -single / occasional non-compliance with the requirements of the standard or applicable law. - partial non- conformities with the requirement of the standard without hindering the achievement of the objectives but hampering its implementation. - does not compromise the efficiency of the management system	Deviations that show: - non-compliance with the standard or applicable law inconsistency or systematic deviation from a requirement, - prevent from achieving the objectives - question the efficiency of the management system
A complying management system is a system which has no non-conformities or maximum 5 minor non-conformities are not closed with corrective actions, but only if they are according to different requirements	A complying management system is a system which has no non-conformities found or effective corrective actions are performed for each major non - conformity

Within 5 days , the client analyzes the reasons and submits to the team leader a proposal for corrections and corrective actions. The auditor who has identified the non - conformities accepts or does not accept the proposed corrections and corrective actions and coordinates the deadline for fulfillment	
To proceed with a decision for Certification, for each minor non - conformity, the management system certification body must have accepted the proposed by the customer adjustments and/ or corrective actions.	In order to proceed with a certification decision, for each major non-conformity, evidence must be provided to close it and evaluate its effectiveness and a positive conclusion of the team to be stated in the report
If the corrective actions performed to more than 5 minor non-conformities are ineffective, the lead auditor or the auditor evaluating the effectiveness reports the result and suggests: -temporary suspension of the certification process -termination of certification, or -assignment of a re-audit to another team (follow up)	If the performance of corrective actions even for one major non - conformity are ineffective, the leading auditor or the auditor, evaluating the effectiveness, reports the result and suggests: -temporary suspension of the certification process -termination of certification, or -assignment of a re-audit to another team (follow up)

The client is informed about the result of the verified evidence of the corrections and corrective actions he has made.

Objective evidence of corrections and corrective actions leading to the closure of the non - conformities identified, both at the time of the audit and within the specified period, are an integral part of the client's file.

The lead auditor checks the implementation of corrections and corrective actions in a follow-up audit on site in case they cannot be verified only on paper.

7. Certification Decision

Upon completion of the certification audit, the lead auditor transmits all the information and evidence gathered during stage 1 and stage 2 of the certification procedure of the DMSC (Technical Assistant - Clients), who examines the completeness of the required documents and hands over to the designated person by the Certification Committee for the decision to grant certification, expanding or limiting the scope of certification, suspending or restoring certification, withdrawing certification, renewing certification, or refusing certification.

The Certification Committee shall decide on the certification process on the basis of the audit report and the collected written evidence.

Once a certification decision has been taken, a certificate is issued.

In case the client fails to perform the approved corrective actions and major non - conformities that have been found are not closed within two months, The management system certification body temporarily suspends the certification procedure for a further 4 months, and:

-if after this additional period (up to 6 months from the stage 2 audit) there is no evidence of closure of the non-conformities and willingness of the client to continue the certification procedure, the management system certification body terminates the certification contract with this client.

-if within the additional 4-month period the client completes corrective actions and states its willingness to continue the certification process the management system certification body performs re-audit stage 2, coordinated with the client, at the latest 6 months after the date of the initial audit stage 2.

In cases where during the certification audit of an integrated management system there has been a non - conformity according to one of the standards which is not closed in time, certificates are issued only according to standards for which conformity has been established and the other is proceeded according to the previous text.

The Recognition by the management system certification body of DEDAL-AC of an already existing certificate of management system issued by another accredited certification body / transfer of certification / transfer of certificates / shall be carried out in accordance with the regulation Transfer of accredited certification of management systems. On the basis of this recognition, the management system certification body provides a certificate on its own behalf.

DOCUMENTS FOR CERTIFICATION

In the case of a certification decision, the conclusions of the audit, a certificate/s of compliance of their management system with the requirements of the relevant standard and a certification mark are provided to the customers.

The certificate is issued for a period of validity of 3 (three) years. After the certificate is issued, the maintenance stage begins.

The certificate is issued in 1 (one) copy, signed by the HDMSC, and if he/she has been involved in the evaluation process - by an expert (authorized by the Quality Manager). The issue of supplementary certificates is specified in the **Offer – Contract**

The original of the certificate shall be handed over to the certified organization or to a person authorized by it upon presentation of a price document in accordance with the contract.

A copy shall remain in the file of the certified organization,

The structure of the certificates is approved by the Manager of "DEDAL-AC" Ltd.

The certificate is assigned with a serial number from the *Register of Certified Customers* - of the Certification Body.

On the website of the management system certification body at "DEDAL-AC" Ltd. is mentioned the e-mail address for requiring information about the actuality of a certificate issued by the management system certification body.

The certificate has the accreditation symbol of EA BAS, when the scope of the certified system is within the scope of accreditation of the management system certification body at "DEDAL-AC "LTD.

In case the scope of certification is greater than the accreditation of the management system certification body (MSCB), two certificates with the same number are issued. One describes the scope of certification under accreditation, and the second describes the scope of certification for which the management system certification body does not have the accreditation. The second certificate does not have the accreditation symbol of EA "BAS"

When there is a refusal to issue a certificate, the client shall be informed in writing within 10 (ten) days after the decision was taken. The applicant has the right to make a reasoned objection in writing. The objection shall be made in writing, signed by an authorized person, within 10 working days of the date of receipt of a document containing a finding, assessment or decision that is challenged with the objection.

8. Surveillance

The surveillance audit shall be carried out on site once a year in order to verify that the certified management system is still in compliance with the requirements of the relevant standard, according to which the certification was made in the period between the two audits for renewal of certification.

According to the contract and the certification procedures, the client is obliged to notify the management system certification body to "DEDAL-AC "LTD. upon changes in the organization of the client and in its management system. The information is used to review the audit program.

The date of the first surveillance audit after the initial certification is determined within a maximum of 12 months from the last day of Stage 2 of the audit, also known as check date.

On written and well-founded client's request to postpone a second supervisory audit, the management system certification body may decide to postpone but for a period not exceeding 25 months from the last day of stage 2 of the audit.

When there is a skipped surveillance audit for more than the above deadlines, the certification is terminated and the certificate is withdrawn. This suspension of certification is regulated in FR 06 Termination, withdrawal or limitation of the scope of certification.

Surveillance audits are carried out in the following cases:

- according to the audit programme, approved annual schedule / planning / but not less than once a year;
- in case of information from the supplier about changes in the conditions of certification;
- in case of signals received at the Certification of Management Systems at "Dedal-AC" Ltd. for non-conformities in the functioning of a certified system.

The scope of the surveillance audit plan depends on the results of the last assessment of the management system but at least includes:

- processes in which non-conformities were detected in the previous audit;
- quality policy and objectives;
- internal audits and management reviews;
- documented information;
- managing a non-conforming product;
- corrective and preventive actions;
- the satisfaction of third parties, including received complaints;
- continuous operational control;
- review of any amendment;
- the effectiveness of the management system with regard to the achievement of the objectives and expected results of the management system (s) concerned;
- continuous improvement of the management system
- compliance with the rules for reference to certification and the use of the Certification Marks of the management system certification body to "Dedal-AC".

Within **one month** before the scheduled date, the letter for coordinating the audit team is prepared, 20 days before the audit, an order for the assignment of the surveillance audit is being prepared, specifying the members of the audit team, date and scope of the audit.

The audit team performs and documents the surveillance audit like the on-site audit (Stage 2) according to this procedure.

9. Renewal of certification

The renewal of the certification is carried out with a planned audit. The purpose of the audit renewal certification is to confirm the continuity of compliance and the efficacy of the relevant management system as a whole and its continued compliance and applicability in terms of scope of certification. An audit of renewal certification must be carried out 2 months, before the expiration of the certificate to allow the client to close any non-conformities if they occur during the audit.

The audit plan for the renewal of certification includes:

- assessing compliance with the requirements of the relevant management system standard;

- a review of what has been achieved by the management system for the certification period;
- a review of reports from previous surveillance audits
- reviewing information about complaints received from users of the certification.

10. An audit for renewal of certification is performed in order to:

- assess the efficiency of the management system regarding internal and external changes, its constant adequacy and applicability regarding of the scope of certification.
- collect evidence of the commitment to maintain efficiency and improve the management system – observing the declarations and declared policies in relevant areas.
- assess whether the functioning of the certified system contributes to the achievement of the objectives set out in the organization's policy and the expected results of the management system concerned.

In order to assess the maintenance of compliance with all the requirements of the relevant standard, the management system certification body provides time for the auditors to carry out their activities during the audit renewal process.

The determination of the required duration of the audit is based on the size of the organization, the locations (including temporary sites) the technology used to implement different components of the management system (documentation and / or process control, control of corrective actions, etc.) already demonstrated action of the management system. The duration of the audits is determined according to PП 04 Determination of the duration of the audit.

As a result of the audit for the renewal of the certification, the team leader (the lead auditor) prepares a report containing the information, acc. to cl. 5.5.3 of this Procedure.

When major non - conformities have been identified during an audit, the certified organization is required to apply corrections and corrective actions before the expiration of the 3-year period of the certificate.

When the certification renewal activities **have been successfully completed** before the expiry date of the existing certification, the date of issue of the new certification is the date of the decision to renew the certification or after it and the expiration date is for a new three-year period from the date of validity of the previous certification cycle.

When the audit certificate renewal **is not completed**, or the certification body is unable to verify the effectiveness of the corrections and corrective actions for each major non-conformities **before expiration of certification**, certification renewal is not recommended, and the validity of the certification is not extended. The client is notified about this and the consequences are clarified.

Upon expiration of the certification period, the management system certification body may re-establish the certification within 6 months, provided that other certification activities are completed; otherwise at least audit stage 2 shall be performed.

In cases when during an audit for renewal of certification of an integrated management system a major non – conformity has been found with one of the standards, which is not closed in time, certificates are issued only according to standards for which conformity has been established and the other is proceeded according to the previous text.

The actual date of the certificate will be that of the certification committee's decision to renew the certification or after it and the expiration date will be based on the previous certification cycle.

11. Special audits

11.1. Expanding the scope of certification

In order to declare his/her intention to extend the scope of certification, the customer fills an **Application form for a quotation** and follows the order.

Upon receiving a request to extend the scope of certification already given the Head of Department Management Systems Certification examines the application and determines any necessary audit action, to provide information for deciding whether or not to grant expansion. The application review is documented and the specified actions are reflected in the audit programme.

An **Annex for Extension of Scope** shall be attached to the Certification Agreement.

An extension of the scope of a certificate can be made in the following cases:

-When the customer wishes to include additional processes within the scope of the already certified management system that are carried out on the same territory. In this case, a full audit of the new processes and all related processes of the certified system is carried out.

In expanding geographically. The whole management system is audited, already applied to the new location, and all related processes from an already-certified old-place management system.

An extension audit may be combined with a surveillance audit.

Upon successful completion of the certification process, an audited organization is issued with a new certificate, with a new date of issue but with the same validity period reflecting the changes made to the scope of certification. Upon receipt of the new certificate, the certified organization returns the old one.

11.2. Unforeseen audits

Unannounced and unannounced audits of certified customers are performed:

- when investigating complaints;
- due to changes in the organization of the client;
- in case of need to follow up on a client with terminated certification.
- submitted in written management system certification body Alerts by certified client;
- published or released critical materials for a certified client in the media;
- written signals of incorrect reference to certification and misleading use of certification in advertisements, catalogs or information from interested parties such as users.

In each case, management system certification body at DEDAL-AC performs an analysis of the circumstances and informs the certified client in writing about the necessity and the conditions for conducting such an unforeseen audit indicating the subject of the upcoming audit - location, organizational units, activities and processes, as well as the duration of the audit and its duration.

To this end, the received documents are submitted to the lead auditor for introduction.

A plan is not drawn up for the unplanned audit, but the reported causes of the audit are checked. Unannounced or unannounced audits are conducted by a competent auditing team for the subject of the particular audit.

The certified organization is not in a position to object to the members of the audit team in advance, so they are selected with particular attention. In order to ensure impartiality and objectivity of the audit, the auditing team does not include auditors or experts which are related to the specific objection or complaint and who have participated in the audit of the organization subject to the opposition in order to avoid a conflict of interest;

For the unforeseen audit, the lead auditor draws up an audit report within two days.

Discrepancies lists are compiled for discrepancies found, which are signed by the auditor and an authorized person by the Client.

The client may lodge a complaint or objection in accordance with the rules of the Certification Body, which are also available on the website of Dedal-AC Ltd.

The possibility of carrying out unannounced audits is explained to the client during the planned audits, the client is informed in advance and upon conclusion of a certification contract.

Information on the conditions under which unannounced and unannounced audits are carried out is published on the website of Dedal-AC Ltd.

12. Suspension, revocation or limitation of the scope of certification

In the event of termination of certification, withdrawal or limitation of the scope of the certification, the client shall be notified in writing of this decision.

The customer is required to return the certificate received and a written statement, which guarantees that from the announcement of the withdrawal the certification will cease to refer to the certificate of the management system

12.1. Termination of certification

"Dedal-AC" Ltd ceases certification in cases where:

-A certified customer management system consistently or seriously does not meet certification requirements, including requirements, related to the efficiency of the management system;

-The Certified Customer does not create (not allow) Supervisory Audits within one month after the critical date and audits to renew the certification within one month before the expiry date of the certificate;

- In the case of established misuse and misuse of certificates, reference to certification using a certification mark of the management system certification body in violation of the terms of the current contract between the two parties (eg presentation of certification as something other than the management system), symbol, advertisement, registration document or misrepresentation of the certificate in advertising activities;

- The Client / Certified Customer fulfills its obligations under the Certification Agreement

- The Certified Customer has voluntarily requested termination.

When certification is terminated, the issued certificate of the client management system is temporarily invalid.

If the organization does not remedy the reasons for suspending the certification and / or does not create the conditions for conducting a supervisory audit for a period longer than 6 months, the management system certification body removes or limits the scope of application of the certification.

The renewal of the certificate shall be carried out after a special audit of the corrective actions taken

12.2. Canceling the certificate of a management system

In case of failure to solve the problems leading to the termination of the certification in longer than 6 months, the head of the team (the lead auditor) makes a proposal to the HDMSC to withdraw the certificate.

Where objective evidence was found during supervisory audits that the management system is not in compliance with the certification requirements and that the client has not taken timely and adequate corrective actions approved by the lead auditor, a certificate is withdrawn or limited by a decision of the Certification Committee.

- the certified customer management system does not demonstrate compliance with the certification requirements and does not achieve the required efficiency;

- non-compliance with certification requirements and failure to carry out effective corrective actions within the deadline set by the lead auditor;

the certified customer voluntarily requests an interruption of the organization's activities;

- change of ownership

- in the event of complaints (complaints) received in the management system certification body regarding the certified organization;

- any other breach of the rules of the management systems or the contract and the procedures of the certification body.

To renew the withdrawn certificate, the client submitted a new application to Dedal-AC Ltd.

11.3. Limit the scope of a certificate

The certification body limits the scope of certification and certificates issued for the following reasons:

- Upon notification by the certified organization that certain processes or elements of the management system are not applied. In this case, the Certifying Body performs an extraordinary audit to confirm the compliance of the system with the requirements of the applicable standard. The scope of the audit is determined by the lead auditor, given the impact that unsettled processes have on the integrity of the management system and its efficient functioning;

- When establishing during a supervisory audit that processes covered by the management system are not applied, the lead auditor proposes reviewing an initial decision on the scope of the system and / or the compliance with the requirements of the applied standard in order to limit the scope of the issued certificate

- Upon notification by the certified organization that the management system does not apply to all structural units covered by the scope of certification. In this case, the lead auditor considers the need for an audit. If the limitation of the application area of the management system with regard to the application does not affect its functioning and compliance with the requirements of the applied standard, the lead auditor may consider that an on-the-spot audit is not necessary. In this case, only the management system documentation reflecting the changes has been reviewed.

When the client has serious deficiencies and consistently fails to comply with certification requirements for individual elements of the scope of certification, the team leader (the lead auditor) suggests to the Certification Committee that the scope of the certification be limited - to exclude the elements , which do not meet the requirements.

Such limitation of the field of application shall be in accordance with the requirements of the reference standard.