RULES FOR THE USE OF THE SYMBOL IN ADVERTISING AND PUBLICITY

		On product[1]	On larger boxes, etc. used for transportation of products[2]	In pamphlets, etc. for advertisement
Use of Symbols[3]	**WITHOUT** a statement	**NOT ALLOWED**	**NOT ALLOWED**	**ALLOWED**[5]
	WITH a statement[4]	**NOT ALLOWED**	**ALLOWED**[5]	**ALLOWED**[5]

1 This could be a tangible product itself or product in an individual package, container etc.

2 This could be over-packaging made of cardboard etc. that can be reasonably considered as not reaching end users.

3 This applies to symbols that have a specific form including some basic description of its applicability. A statement in words alone does not constitute a symbol in this sense. Any such wording should be true and not mislead.

4 This could be a clear statement that "(this product was) manufactured in a plant whose management system is certified as being in conformity with (standard)".

5 The symbol may then only be used as specified in this document.

This document briefly describes the procedure of management system certification.

APPLICATION FOR CERTIFICATION

General
TÜV Nord must verify whether it is appropriate to conduct the certification of an organisation. The decision is made upon the results of a self-declaration of the organisation using a questionnaire, a pre-visit or a follow-up audit as an alternative. The organisation nominates a contact person from its management responsible for communicating with TÜV Nord and for handling the audits.

The Questionnaire
The questionnaire for the preparation of a certification audit contains a description of the organisation. The questionnaire is completed by the organisation alone or with assistance of TÜV Nord. It is then used to verify whether the management system fulfils the requirements for a certification audit.

The Certification Offer
If the information supplied in the questionnaire is meaningful and complete, TÜV Nord will prepare an offer based on the audit time guidelines for the desired standard, and other factors related to the certification, such as location, language and scope of certification. The offer is developed following documented procedures that do not favour or discriminate against any applicant organisation.

Stage One Audit (ISMS only)
Purpose of a stage one audit is to verify information received from the organisation and to determine the crucial organisational, environmental and/or security related characteristics of the organisation. The results of a stage one audit can lead to a modification of the initial certification offer, if circumstances require. It is also possible to conduct a partial review of the documents during the stage one audit.

Pre-audit (optional)
A pre-audit consists of a limited review of selected management system documentation followed by the conduct of a brief on-site audit. Purpose of the pre-audit is to identify weak points in the documentation and the implementation of the management system. The results of the pre-audit are explained to the organisation verbally or in a report. A pre-audit is normally conducted by a single auditor and can only be conducted once per certification. The organisation must address deviations found during the pre-audit before the certification audit commences. The auditors will review the corrective action resulting from the pre-audit during the certification audit.

Although the results of a pre-audit may influence the further audit scheduling and planning, it can not be used to reduce the on-site audit time of the certification audit.

REVIEW AND EVALUATION OF DOCUMENTS

Around four weeks before the certification audit the organisation submits the management system documents in their current version to the lead auditor. The documents (manual, procedures etc.) are evaluated by an auditor with the aid of a questionnaire. A report on the evaluation of the documents is written and sent to the organisation if the documents do not fully comply with the requirements of the standard. Corrective action must be taken before the on-site audit can commence.

AUDIT PREPAREDNESS

A complete internal audit addressing all requirements of the applicable standard must have been performed by the organisation. A review of the management system must have been performed by the organisation's management. If these requirements are fulfilled, the on-site audit can commence.

CERTIFICATION AUDIT

Approximately two weeks prior to the audit the organisation receives the audit plan for review and agreement. The organisation may request the replacement of any proposed audit team member if reasons, such as conflict of interest exist.

The implementation and effectiveness of the management system are reviewed on site by a competent audit team using a method of interviews and sampling of evidence of the implementation and effectiveness of the management system. Deviations detected by the audit team are documented. *Non-conformities* require corrective action such as follow-up audit or submission of new evidence before the certification can be issued. Scope and extent of a follow-up audit are limited to the management system requirements affected by the non-conformity.

ISSUE OF A CERTIFICATE AND SURVEILLANCE

Issue of a Certificate
A certificate is issued following a positive review of the audit by the certification body. If the contract for certification has been signed, the certificates are handed to the organisation together with the contract and audit report. The certificate is only issued if all non-conformities have been corrected. The certificate is valid for three years provided at least annual surveillance audits are performed at the organisation.

Surveillance, Suspension and Withdrawal of Certification
Before a surveillance audit all relevant information about the organisation and the management system shall be updated to provide for significant changes which may have an effect on the scope or other issues of the organisation's certification.

Certain requirements of the standard are audited every year, including use of the certificate and complaints against the management system. The remaining requirements are distributed over the surveillance audits. Typically a surveillance audit is performed by a single, competent auditor. The date and auditor are agreed with the organisation.

In case of non-conformities, the same procedure as with a certification audit is adopted. In the case of severe, repeated or unattended non-conformities or violations of the certification contract, the certificate may be suspended or withdrawn. After the surveillance audit the organisation receives a report.

Re-Certification
Before the period of validity expires, a re-certification audit shall be performed to extend the certificate for a further three years. The effectiveness of the entire management system is tested during the audit. Changes to the management system must be announced by the organisation in advance. The audit is performed in a comparable manner to a certification audit.

Disputes and Appeals
If there is reason for the organisation to dispute or to appeal a decision of the Certification Body, they can address the Head of Certification directly or via the auditing office. If the disagreement cannot be removed by the Head of Certification, the organisation may present his case to the Certification Advisory Board for a ruling.

MULTISITE CERTIFICATION

A multisite organisation is an organisation having an identified central function (*central office*) at which certain activities are planned, controlled or managed and a network of local offices or branches (*sites*) at which such activities are fully or partially carried out.

To qualify for multisite certification, an organisation must fulfil certain conditions which are reviewed by the auditors during the contract review (before the offer). If eligible, a sampling method can be used to limit the site visits to a representative number of sites in addition to the central office. Over the period of certification, the group should be visited in its entirety.

Whether the sampling method may be used, and how many and which sampled sites shall be audited, remains a decision of the certification body.