1. Purpose

This General Operating Procedure (GOP) describes the responsibilities of TUV USA certified client (organization) for achieving and maintaining QMS certification. This document is based on the requirements of:

- ISO17021-Requirements for Bodies Providing Audit and Certification of Management Systems
- AS9104/1-Requirements for Aviation, Space, and Defense Quality Management System Certification Programs

This procedure as well as the requirements of the above standards are legally binding. Failure to follow the requirements of these three (3) documents may result in suspension and/or withdrawal of certification.

2. Definitions

Organization: Company (Your organization) that is a legal entity with a quality management system accredited by a Certification Body (TUV USA, Inc.).

Certification Body: An organization that performs audit and certification services in accordance with authorized Accreditation Body requirements (TUV USA).

Online Aerospace Supplier Information System Database (OASIS): A web-based application containing information on participating National Aerospace Industry Associations, auditors, CBs, certified suppliers and audits performed.

3. Reference Documents

- ISO17021-Requirements for Bodies Providing Audit and Certification of Management Systems
- AS9104/1- Requirements for Aviation, Space, and Defense Quality Management System Certification Programs
- The “ISO Name and Logo” Website: https://www.iso.org
- PR 1018 - Policy on use of ANAB Accreditation Symbols and Claims of Accreditation Status

4. Client General Requirements

The organization must inform the certification body, without delay of matters that may affect the capability of its quality management system to continue to fulfill the requirements of the standard used for certification. These include such as but not limited to changes relating to:

a) The legal, commercial, organizational status or ownership
b) Organization and management (key managerial, or decision-making staff)
c) Significant changes in the number of employees
d) Contact address and sites
e) Customer contract requirements
f) Scope of operations under the certified management system, and
g) Major changes to the management system and processes
h) Number of shifts

TUV USA allows the presence of observers (e.g., consultants) under the following conditions:

- The names of the observers are provided to TUV USA Audit Team prior to the audit.
- The observers do not unduly influence or interfere in the audit process or outcome of the audit.

If the conditions above cannot be ensured, TUV USA Lead Auditor may request the observer to leave the audit or decide (in conjunction with TUV USA office) for the termination of the audit.

5. Certification Status and Use in Communication Media

When referring to the organization's certification status in communication media such as the internet, brochures, advertising, or other documents, the organization shall not:

a) Make any misleading statement regarding its certification,
b) Use or permit the use of a certification document (i.e., certificate, report) or any part thereof in a misleading manner;
c) Imply that TUV USA, Inc. has certified a product, service or process;
d) Imply that the certification applies to activities that are outside the scope of for which the certificate was issued, or
e) Use the certification in such a manner that would bring TUV USA, Inc. and/or the management system certification process into disrepute and lose public trust.

Failure to follow the above requirements may result in the issuance or nonconformities and in certain circumstances lead to the suspension of the certificate.

For whatever reason, if the TUV USA, Inc. certificate is no longer valid, your company must discontinue its use, including in all advertising materials.

5.1 Mark of Conformity, Logos, Product Packaging and Accompanying Information

TUV USA, Inc. does not allow the logo as depicted in the header of this document to be used in any manner by the certified client. Upon client request, TUV USA may provide to its clients a Mark of Conformity according to the standard the company is certified.

There can be no ambiguity in the mark or accompanying text as to what has been certified and which certified body as granted the certification.

Other logos or images that reference quality management systems certification provided by TUV USA shall not be used on the company website or other communication media. See Appendix A of this document for more details.

The TUV USA, Inc. logo or Mark of Conformity shall not be used on product, product packaging or accompanying information that in any way that may be interpreted as denoting product conformity. Accompanying information includes:

- Certificates of Conformance
- Invoices/Packing Slips
- Laboratory reports
- Calibration reports
- Inspection or test reports
- Type labels or identification labels/plates (considered as part of the product)

Any statement on product packaging, accompanying information made by the certified client shall in no way imply that the product, process or service is certified. Statement shall not include references to:

- The type of management system (e.g., quality, environment) and the applicable standard;
- Claims of product or service performance based on quality management certification
- The certification body issuing the certificate.

Note: Product packaging is considered that which can be removed without the product disintegrating or being damaged. Accompanying information is considered as separately available or easily detachable.

5.1.1. Use of Accreditation Symbol

Organizations that have been granted ANAB-accredited certification may choose use the ANAB Accreditation Symbol.

ANAB Accreditation Symbol shall be used only in conjunction with TUV USA mark of conformity on the certified organization's stationery and literature and in its marketing, subject to the following conditions:

a. Certified Organizations shall use only approved accreditation symbols provided by TUV USA.

b. The ANAB accreditation symbol shall be reproduced on a background that will not impede readability:

- In black or blue (PMS 286 or equivalent) and red (PMS 485 or equivalent) on a white or light colored background, or white on a dark-colored background;
- In a size that makes all features of the symbol clearly distinguishable; and
- Without distortion of its dimensions.

c. The ANAB Accreditation Symbol shall not be used in isolation from the TUV USA mark of conformity, and the size of the ANAB symbol must not exceed the size of TUV USA Mark of Conformity.

d. The ANAB Accreditation Symbol shall not be used on a product or packaging or in such a way as to suggest that TUV USA and/or ANAB have certified or approved any product, process, statement, claim, or service of an entity, or in any other misleading manner.

e. Upon withdrawal of the ANAB-accredited activity or TUV USA's ANAB accreditation, the organization shall immediately discontinue use of the ANAB Accreditation Symbol, ANAB's name, and claims of accredited certification in any medium, including letterhead, electronic media, etc., and return or destroy any ANAB accredited documents (e.g., certificates) referring to ANAB accreditation as required by TUV USA or ANAB.

f. If the organization continues to use the ANAB Accreditation Symbol or reference to ANAB, ANAB will issue a cease-and-desist order and, if the order is not met, may publish a notice on its website indicating that the organization is making a false claim of ANAB-accredited activity, and ANAB may take legal action.

5.2 Communication Media and Management System Certification

Communication media includes client websites, brochures, placards, signs and business cards. There are specific requirements for the content and accuracy of communication media that must be met by the certified organization.

Clients must ensure that their communication media meets the following requirements of ISO 17021. Statements on websites or other communication media shall not be misleading by:

- Implying that certification status is valid when it is not.
- Stating or implying that the certified QMS is in any way related to product quality or service.
- Implying that the certification applies to activities such as Design and Development that are not applicable.

- Implying that the certification applies to sites that are outside the scope of certification.

Appendix A of this document provides specific examples for acceptable logo use and unacceptable language or content on client websites and other communication media.

The TUV USA, Inc. Certification Mark may be used in communication media as long as it is not implied that product is certified. The client must request the Mark artwork directly from TUV USA, Inc. for its use.

Failure to follow the above requirements may result in the issuance or nonconformities and in certain circumstances lead to the suspension of the certificate.

6. Submittal of Corrective Action Reponses for Nonconformities

In the event that there are nonconformities found during an Initial, Surveillance or Recertification audit, the organization shall perform prompt investigation of the issue(s) and provide:

- Effective root cause analysis
- Corrective action measures with the intent to correct the issue(s) without further occurrences.

Timeframes for corrective action responses vary between International Standards. Nonconformance Reports or Audit Reports provide specificdue dates for responses.

7. Recertification and Audit Scheduling

Recertification audits are scheduled well in advance of the expiration of the client's certification expiration.

If the recertification audit is delayed due to customer issues (such as failure to schedule an audit or excessive rejections of corrective action) there could be a lapse in the certificate.

8. Special Audits

In response to an application for expanding the scope of a certification already granted, TUV USA undertakes a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted. Depending on the activities required of the Special Audit, it may be possible to perform the audit concurrently with a required audit of the cycle (Surveillance and Recertification Audits only).

8.1 Short-notice and Unannounced Audits

It may be necessary for TUV USA to conduct audits of certified clients at short notice or unannounced to investigate complaints, or in response to changes, or as follow up on suspended clients. In such cases, TUV USA will describe and make known in advance to the certified clients the conditions under which such audits will be conducted.

9. Specific Requirements for Aviation, Space and Defense (AQMS) Organizations

The organization must appoint an OASIS Administrator who is responsible for entering information regarding the company and to maintain Feedback within OASIS.

Aviation, Space and Defense (AQMS) certified organizations shall allow Certified Bodies to provide both Tier 1 data (information found on the certificate) and Tier 2 (information and results of audits, assessments, nonconformities, corrective action, and suspensions to the OASIS database).

NOTE 1: The organization is contacted for permission for viewing Tier 2 data.

NOTE 2: Exceptions for access to Tier 2 information may be allowed with appropriate justification such as competition, confidentiality or conflict of interest.

If the organization's AQMS certification has been suspended or revoked, the organization is responsible for providing immediate notification to its aviation, space and defense customers.

Organizations shall agree that Accreditation Bodies (AB) or Other Party (OP)/Certification Oversight assessors, customer representative and regulatory authorities may accompany a CB (TUV USA, Inc.) audit for the purpose of oversight witness or the confirmation of the effectiveness of the CB's audit process.

In the event of nonconformities from an audit, the organization must provide, based on date of issuance of the nonconformity:

- Within seven (7) calendar days: Containment of the issue(s) Major Nonconformities only)
- Within thirty (30) calendar days: Root Cause(s), Correction(s), and Corrective Action(s)
- Within (typically) fifty (50) to fifty-five (55) calendar days: Evidence of implementation of Corrective Action(s) as agreed to with the Lead Auditor

Nonconformities must be fully accepted by the Lead Auditor no later than sixty (60) calendar days to prevent suspension, temporary invalidation, and/or loss of certification (withdrawal/revocation), for failure to meet these requirements.

If the organization requests changes or substitutions of Auditors, the organization must provide documented evidence of improper activity or contract violations on the part of the auditor.

APPENDIX A

A.1 Client Website and Other Communication Media Information

A.1.1 Because there can be no ambiguity which certified body has granted the certification, it is necessary to make this clear in your website or other communication media.

One way to communicate that TUV USA is your certification body is to post your *current* certificate. If you choose not to post your current certificate, then a statement on your website may be made regarding certification with TUV USA.

Note: Such statements are typically placed on the Home, About or Quality pages of client website.

An acceptable statement would be:

"Our company's quality management system is certified by TUV USA for ISO 9001:2015, ISO 13485: 2016 and AS:9100D."

Note: The words "register" and "registration" cannot be used when referring to the certification to standards, because TUV USA does not perform registration services. Also, TUV USA is not a "Registrar."

Examples:

Acceptable: "Our quality management system is certified by TUV USA to ISO 9001:2015 and AS9100D."

Unacceptable: "We are registered for ISO 9001:2015 and AS9100D."

A.1.2 When referencing your certification, it must be in terms of the quality management system, NOT a facility or process.

Acceptable: "ISO 9001:2015 certified quality management system"

Unacceptable: "ISO 9001:2015 certified facility"

Unacceptable: "AS9100D certified manufacturing processes"

A.1.3 The full name and revision of the standard must be used.

Acceptable: "ISO 9001:2015 and ISO 13485:2016 certified"

Unacceptable: "We are AS and ISO certified"

A.1.4 The client is required to follow the requirements of ISO 17021 by not making misleading statements regarding its certification. Confirmed misleading statements shall be considered as nonconforming and "in breach of the contractual relationship with TUV USA" if noted on client websites (or other communication media) including, examples such as:

- "Company XXX has been certified to [ISO 9001, AS9100, ISO 13485] since 2017—thiscertification ensures that product quality is consistently achieved." *Issues--there is a direct link to certification and product quality. The revision levels of the standards are not stated.*
- "Our products are manufactured in our ISO 13485:2016 certified facility, ensuring high quality product and on time delivery." *Issue--the QMS is certified, not the facility. Also, there cannot be a connection between product/service and the certification.*
- "We are able to provide reliable distribution services because of our certification to AS9120." *Issue--there is a direct link to certification and the reliability of distribution services. The revision level of the standards is not stated.*
- "We provide comprehensive support from design, manufacturing and fabrication services." *Issue--this company's management system is not certified to Clause 8.3, Design and Development*.
- "Company XXX provides concurrent engineering services as well as manufacturing of products for the medical, commercial and aerospace industries." *Issue--"concurrent engineering" is a method for designing and developing products—this organization is not certified to Clause 8.3. Design and Development.*
- "All 5 of our sites are certified to ISO 9001, AS9100, ISO 13485." *Issue--the organization's certificate shows 3, not 5 sites. The revision levels of the standards are not stated.*
- "Our inspection processes are certified to AS9100D and ISO9001:2015 standards." *Issue-- the quality management system is certified, not processes such as inspection.*
- "Company XXX is an AS9120B certified distributor of aerospace components. We also perform assembly and light machining services." *Issue--any kind of value-added processes such as assembly, machining, etc. are not allowed for a AS9120B certified company.*
- "Company XXX is an AS9120B certified distributor of tires and landing gear components, including other electronic components for navigation systems". *Issue—the organization has added to the Scope of Registration such that it implies processes that were not audited are included. The organization's latest Audit Scope was only inclusive of processes related to distribution of tires and landing gear.*

A.2 Logos and Marks

A.2.1 The TUV USA logo (found in the upper right-hand corner of this document) **cannot be** used by clients on their website or other advertising media such as brochures, placards, signs, and business cards.

A.2.2 Other logos and imagines that state or imply certification to any quality management system. Exceptions: Nadcap or customer specific qualification/certification, marks, logos or images.

A.2.3 The Mark of Conformity pictured below may be used on the website or other communication media (not associated with product or packaging), but the artwork for the mark must be provided by TUV USA to the client.

A.2.4 These ISO logos are under copyright protection and **cannot be** posted on client websites, brochures, business cards, signs, etc. This includes any similar representations of theISO logo.

A2.5 Images such as those below **are not allowed** to be posted on the company website or other communication media in reference to quality management systems certified by TUV USA.

Revision History

Revision	Date	Description of the Change	Approved by	
2	02/23/2017	Included on section 2 a description for the rules for statement on product packaging. Description of the certification process transferred to procedure GOP024	R. Thomsen	
3	04/11/2017	Included last paragraph on section 4 to describe the conditions for the presence of observers.	R. Thomsen	
4	05/24/2018	Clarification on the use of Accreditation Body's logo by certified clients (section 5, 2nd paragraph)	R. De Souza	
5	8/13/2021	Renamed procedure to "Client Requirements" instead of "Client Guidelines" Revised Section 5 Certification Status and Use in Communication Media Added Appendix A for specific examples of logo use and communication media	S. Gall	
6	2/28/2022	Addition of requirements of the ANAB document PR1018 on section 5.1.1. Use of Accreditation Symbol	R. De Souza	Released in Workflow and communicated to auditors, clients and office personnel, uploaded to TUV USA website.
7	08/24/2022	Sec. 1: Removed standard revision date ref. Revise actions in the event of non-	D. Minamino	Released in Workflow and communicated to auditors,

		compliance with referenced standards/TUV Procedure. Sec. 3: Removed standard revision date ref. Sec. 8: expand to allow both Surveillance and Recertification Audits to have concurrent Special Audit activity where possible. Sec. 9: add responsibility to maintain OASIS Feedback. Add "Certification Oversight" to "OP Assessors" due to name change of OPMT to ICOT. Further clarify response times for NCR's issued during the audit and add additional consequences. Sec. A.1.1: change "must" to "may" regarding website posting of TUV certificate. Sec. A.1.4: Remove issuance of an NCR, change to "in breach on contractual relationship". Add example of change to Scope of Registration where processes were not audited.		clients and office personnel, uploaded to TUV USA website.