CERTIFICATION SCHEME
OF CERTIVATION GMBH

English translation of the German original. In case of doubt, the German original is decisive.

Version 2.10

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Table 1 History

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1 GENERAL

CERTivation GmbH offers audits and certifications of management system compliance.
The certification services are available worldwide to all interested parties who accept the rules laid down in this certification scheme and submit an application for certification.

1.1 Objective

This certification scheme describes the basic procedure and requirements for certification by CERTivation GmbH. In particular, the document provides information on the process and the parties involved in the certification procedure, their responsibilities, tasks, activities, and interaction.

1.2 Target audience

This document is intended for all interested parties. These are primarily customers who wish to be audited or certified by CERTivation. It is also intended for accreditation bodies with which CERTivation GmbH is accredited or is seeking accreditation.
Furthermore, this document is intended for employees of CERTivation GmbH, in particular the auditors, certification office, product managers, and reviewers at CERTivation.

1.3 Scope

CERTivation GmbH offers conformity assessments in the following areas: Management systems:

- Information management systems (ISMS) according to ISO/IEC 27001 in the currently valid version
- Quality management systems (QMS) according to DIN EN ISO 9001 in the currently valid version
- Environmental management systems (EMS) according to DIN EN ISO 14001 in the currently valid version
- Occupational health and safety management systems (OHSMS) according to DIN ISO 45001 in the currently valid version
- Management system for privacy information management systems (PIMS) according to DIN EN ISO/IEC 27701 in the currently valid version, both for PII controllers and PII processors.

CERTivation GmbH offers only audits and certifications in the accredited area. The following are expressly **not** offered:

- Development, implementation, operation, or support of the certified process;
- Consulting or internal audits regarding the management system to be certified
- The certification body is not authorized to certify the management system of another certification body.
- Certification by CERTivation GmbH is always independent of whether a consulting organization is used or not. CERTivation firmly rejects any suggestion that the certification process would be less complicated, easier, faster, or cheaper if a particular consulting organization were used.

1.4 Principles

The overarching goal of certification is to give all parties confidence that a management system meets specified requirements. The value of certification is the degree of public confidence that is conveyed by an impartial and competent assessment by an independent third party.

It is CERTivation's declared policy to carry out certification within the framework of its own certification system independently, impartially, and at a high level with qualified personnel. CERTivation undertakes not to subcontract any complete certification procedures .

1.4.1 Impartiality and independence

All CERTivation employees, in particular auditors and reviewers, are obliged to perform their tasks in connection with certification procedures impartially and free from instructions from third parties, and as independent experts are bound exclusively by the rules of the certification scheme and the certification system.

1.4.2 Confidentiality

In the course of its certification activities, CERTivation GmbH is required to access information, some of which may be sensitive, in order to carry out a competent assessment. Regardless of the information, CERTivation GmbH always guarantees unrestricted confidentiality.
Information will only be passed on to third parties after the owner of the information has given their consent, unless the certification body is obliged to pass on the information due to accreditation standards or legal requirements. The owner of the information will be informed of any disclosure.

1.4.3 Openness and transparency

Certifications are an effective means of building trust. CERTivation GmbH lays the foundation for this trust by communicating openly and transparently with all parties involved, ensuring that the certification process is always clear and comprehensible.
CERTivation offers quick and easy access at all times for inquiries of any kind, as well as appeals and complaints.

1.4.4 Non-discriminatory conditions

The services of CERTivation GmbH are available to all interested organizations, as long as the impartiality or independence of the certification body is not compromised or the ROSEN Group's Code of Conduct is not violated.
CERTivation GmbH ensures the equal treatment of all organizations, i.e., the avoidance of any discrimination against nations, companies, or individuals.

1.5 Risk-based approach

CERTivation GmbH is committed to competent, consistent, independent, and impartial conformity assessment in accordance with the standards specified in Chapter 1.3.
This involves considering the risks associated with providing competent, consistent, and impartial certification and addressing them with appropriate measures.

1.6 Responsibility

CERTivation GmbH is responsible for competent and objective conformity assessment. This means that sufficient objective evidence is reviewed, on the basis of which a certification decision is made.

The customer has implemented a management system that complies with the requirements of the selected standard. It is the responsibility of the certified customer to consistently achieve the intended results and maintain conformity.

1.7 Terms and definitions

The terms and definitions from [17021-1] and [27000] apply.

1.8 Bibliography

1.8.1 Standards taken into account

[9000]	DIN EN ISO 9000 in the currently valid version
[9001]	DIN EN ISO 9001 in the currently valid version
[9004]	DIN EN ISO 9004 in the currently valid version
[14001]	DIN EN ISO 14001 in the currently valid version
[17021-1]	DIN EN ISO/IEC 17021-1 in the currently valid version
[17021-2]	ISO/IEC 17021-2 in the currently valid version
[17021-3]	ISO/IEC 17021-3 in the currently valid version
[17021-10]	ISO/IEC 17021-10 in the currently valid version
[19011]	DIN EN ISO 19011 in the currently valid version
[27000]	ISO/IEC 27000 in the currently valid version
[27001]	ISO/IEC 27001 in the currently valid version
[27002]	ISO/IEC 27002 in the currently valid version
[27005]	ISO/IEC 27005 in the currently valid version
[27006-1]	ISO/IEC 27006-1 in the currently valid version
[27701]	ISO/IEC 27701 in the currently valid version
[27706]	ISO/IEC 27706 in the currently valid version
[45001]	DIN ISO 45001 in the currently valid version
[IAF MD1]	International Accreditation Forum, Inc., "IAF Mandatory Document for the Audit and Certification of a Management System Operated by a Multi-Site Organization", IAF MD1, in the currently valid version.
[IAF MD2]	International Accreditation Forum, Inc., "IAF Mandatory Document for the Transfer of Accredited Certification of Management Systems," IAF MD2, in its currently valid version.
[IAF MD4]	International Accreditation Forum, Inc., "IAF Mandatory Document for the Use of Information and Communication Technology (ICT) for Auditing/Assessment Purposes," IAF MD 4, in the currently valid version.
[IAF MD5]	International Accreditation Forum, Inc., "IAF Mandatory Document – Determination of Audit Time of Quality and Environmental Management Systems," IAF MD 5, in the currently valid version.
[IAF MD7]	International Accreditation Forum, Inc., "IAF Mandatory Document for Harmonization of Sanctions to be applied to Conformity Assessment Bodies," IAF MD 7, in the currently valid version.
[IAF MD10]	International Accreditation Forum, Inc., "IAF Mandatory Document for Assessment of Certification Body Management of Competence in Accordance with ISO/IEC 17021:2011", IAF MD 10, in the currently valid version.
[IAF MD11]	International Accreditation Forum, Inc., "IAF Mandatory Document for the Application of ISO/IEC 17021 for Audits of Integrated Management Systems", IAF MD 11, in the currently valid version.
[IAF MD12]	International Accreditation Forum, Inc., "IAF Mandatory Document – Accreditation Assessment of Conformity Assessment Bodies with Activities in Multiple Countries," IAF MD 12, in its currently valid version.
[IAF MD15]	International Accreditation Forum, Inc., "IAF Mandatory Document for the Collection of Data to Provide Indicators of MS CB' Performance," IAF MD15, in the currently valid version
[IAF MD17]	International Accreditation Forum, Inc., "IAF Mandatory Document – Witnessing Activities for the Accreditation of Management Systems Certification Bodies," IAF MD 17, in the currently valid version.
[IAF MD19]	International Accreditation Forum, Inc., "IAF Mandatory Document For The Audit and Certification of a Management System operated by a Multi-Site Organization (where application of site sampling is not appropriate)", IAF MD 19, in the currently valid version.
[IAF MD 21]	International Accreditation Forum, Inc., "IAF Mandatory Document - Requirements for the Migration to ISO 45001:2018 from OHSAS 18001:2007," IAF MD 21, in the currently valid version.
[IAF MD 22]	International Accreditation Forum, Inc., "IAF Mandatory Document - Application of ISO/IEC 17021-1 for the Certification of Occupational Health and Safety Management Systems (OH&SMS)", IAF MD 22 in the currently valid version.

[IAF MD 23] International Accreditation Forum, Inc., "IAF Mandatory Document - Control of Entities Operating on Behalf of Accredited Management Systems Certification Bodies", IAF MD 23, in the currently valid version.
[EA-7/04 M:2017] International Accreditation Forum, Inc., "Legal Compliance as a part of accredited ISO 14001:2004 certification," in the currently valid version.

2 CERTIFICATION BODY

CERTivation GmbH is a limited liability company under German law, registered in the Commercial Register B of the Osnabrück Local Court under number HRB 211561.

2.1 Declaration of independence

The certification body of CERTivation GmbH declares that it exercises the rights and obligations associated with certification activities and that these activities fall exclusively within its area of responsibility.
Furthermore, no audits are outsourced to management system consulting organizations. This does not apply to the use of an individual or another organization under a separate contract to serve as an external auditor or technical expert.

It retains the sole right to make decisions regarding certification, including the granting, refusal, maintenance, renewal, extension, restriction, suspension, or reinstatement after suspension, as well as the withdrawal of certification. The decision regarding the granting, refusal, maintenance, renewal, extension, restriction, suspension, or reinstatement after suspension, as well as the withdrawal of certification, is never outsourced.

The senior management of CERTivation GmbH is committed to independence and impartiality in all certification activities. Auditing and certification are carried out in accordance with the respective standard in its currently valid version and in accordance with additional applicable legal standards and guidelines. Furthermore, senior management is committed to complying with the requirements of [17021-1].
To ensure the impartiality and objectivity of all assessments and decisions, all personnel of the certification body are:

- independent of financial and commercial influences in all auditing and certification activities and decisions.
- not subject to technical instructions from other business areas and subsidiaries

2.2 Committee for ensuring impartiality

CERTivation GmbH has established processes to ensure that the personnel involved in the certification process work independently and impartially. To guarantee the long-term functioning of these processes, the certification body works with a risk-based approach.
In addition, CERTivation GmbH has established a committee to ensure impartiality, so that the impartiality of the certification body's work is also regularly reviewed by an independent body.
The certification body demonstrates to the committee that its impartiality is not compromised by economic, financial, or other pressures, either initially or on an ongoing basis. The committee The committee conducts a formal assessment of the impartiality of the certification body at least once a year and documents the results of this assessment.
The committee may be assigned additional tasks or duties, provided that these additional tasks or duties do not compromise its essential role in ensuring impartiality.

2.3 Contact Questions and suggestions

Address:

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Tel
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3 CERTIFICATION PROCESS

This section describes how CERTivation GmbH audits and certifies management systems. First, the life cycle of a certificate is illustrated.
A two-stage certification process is used:

- The CERTivation GmbH auditor checks the conformity of a management system against the selected standard and prepares an audit report.
- The certification body reviews the audit report, in particular to ensure comparability between audits.

3.1 Terms

Each certification procedure consists of the following phases:

- Initial certification;
- Surveillance audit (1 year after initial certification);
- Surveillance audit (2 years after initial certification);
- Recertification (3 years after initial certification), if the aim is to maintain the validity of the certificate.

Figure 1 below shows the lifecycle of a certificate.

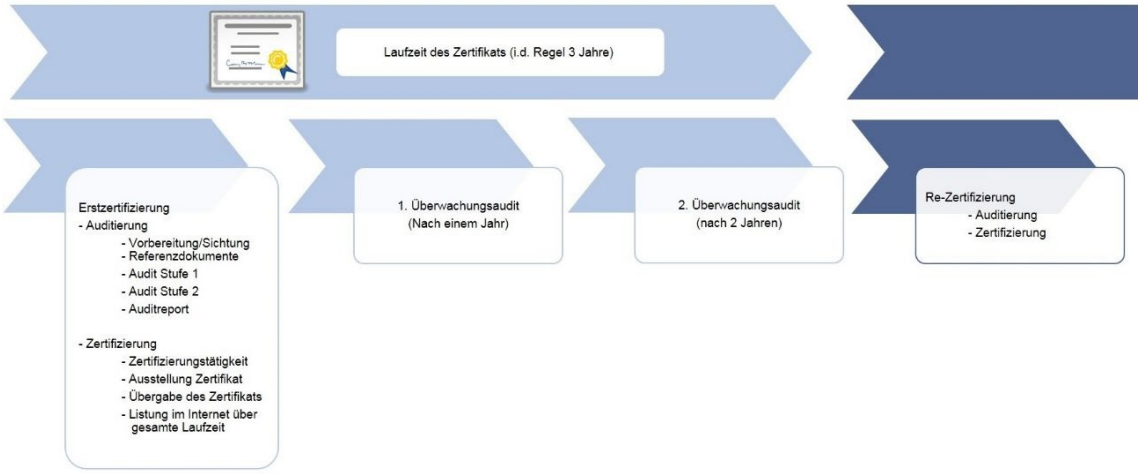

Figure 1 Lifecycle of a certificate

The date of the certificate is the date of the certification decision. If the decision to recertify is made before the certificate expires, the new expiration date is set to the date of expiration of the previous certificate cycle plus three years, unless there are substantive or sector-specific reasons not to do so.

3.2 General procedure

3.2.1 Application and review

CERTivation GmbH offers interested parties a defined application process. A request form is provided for this purpose, which must be completed in full and submitted in writing. This provides the certification body with all the information it needs to decide whether the

request can be covered by CERTivation's accreditation(s), as well as to calculate the audit time required and select a competent audit team.
This process ensures that the applicant is informed about the certification requirements and that the certification body is aware of all aspects relating to the scope of certification.

Once the request has been received, it is reviewed in conjunction with the available documentation to determine its feasibility in the following areas:

- Formal review of the application documents for completeness and consistency with the offer data,
- Feasibility check (standard, economic sector/scope, deadlines),
- Review of the admissibility of any exclusions that may have been made.

If the request is rejected, the reasons must be documented and communicated to the applicant in a comprehensible manner. The applicant has the right to appeal.
Otherwise, CERTivation will submit an offer to the applicant. Upon acceptance of the offer, CERTivation will be commissioned to perform the services specified in the offer.

Acceptance of the order triggers the following processes:

- Written order confirmation and assignment of the procedure ID
- Creation of the certification file
- Entry of the order in the CERTivation database (master data, dates)
- Rough planning of the procedure (contact, dates, personnel planning based on the requested standard)

3.2.1.1 Determination of audit time required

The audit time required is determined and documented on the basis of the completed request form, the relevant standards, and aspects to be taken into account at .

3.2.1.2 Staffing of certification procedures

When staffing certification procedures, CERTivation GmbH ensures that all auditors and technical experts employed have the necessary expertise and qualifications.
All auditors must work independently of financial and commercial influences and be free from technical instructions from other business areas and subsidiaries.

External auditors or technical experts may be employed on an individual contract basis, provided they meet the requirements for impartiality. CERTivation GmbH ensures that the independence and objectivity of external auditors is also maintained.

Based on the completed request form, the certification body selects a competent audit team and audit team leader who are independent for this procedure and available for the planned period. If necessary, suitable technical experts and/or interpreters are involved. The following aspects, among others, are taken into account when selecting the audit team:

- Audit objectives, audit scope, audit criteria, audit time required
- Indication of whether the audit is a combined, integrated, or joint audit
- Required overall competence of the audit team.
- The selection of technical experts/interpreters shall not have any undue influence on the audit. In addition, the certification body shall select competent employees who are independent of the procedure to review the audit reports and shall inform the customer of the contact person at the certification office.

Where possible, the applicant will be notified of this selection three weeks before the start of the audit activities. The applicant then has the opportunity to object to the selection. The objection must be made in writing by letter, fax, or email.

The audit is carried out by the selected audit team. The audit is planned and coordinated by the audit team leader.
The presence and justification of observers during an audit activity must be approved by the certification body and the customer before the audit is carried out. The audit team must ensure that observers do not unduly hinder

nor influence the audit process or the audit result. (Observers may be members of the customer's organization, consultants, assessors from the accreditation body, employees of regulatory authorities, or other authorized persons.
If a witness audit is announced by the accreditation body, the customer will be informed in good time.

In the case of audits with sector- or area-specific requirements, it is possible that the audit team may seek the support of a technical expert if it does not have sufficient experience in auditing the sector/area-specific requirements itself.

During an on-site audit at the organization to be certified, the audit team will have a designated contact person at their disposal – the supervisor.
This is usually an employee of the organization to be certified or its consultant.

3.2.2 Auditing

The CERTivation audit is conducted in a neutral, objective, competent, and independent manner.

Location, dates, type, and scope of the audit
CERTivation usually conducts the audit at the client's premises. The client shall ensure that CERTivation can conduct the audit without disruption, i.e., that the necessary access for conducting the audit and assessment at the place of performance is available.

The type and scope of the audit as well as the dates shall be agreed separately by the parties in writing. Dates must be confirmed in writing. If a date confirmed by CERTivation cannot be kept and the reason for this lies within the sphere of the client, CERTivation shall be entitled to invoice the expenses incurred in preparing for the appointment.

Selection and deployment of auditors
CERTivation is responsible for selecting the auditors. CERTivation is entitled to use both internal and external auditors or technical experts.

CERTivation undertakes to use auditors who are professionally qualified and suitable for the assignment. CERTivation will name the auditors to the client. The client is entitled to reject an auditor if there are important reasons that make cooperation with the auditor unreasonable for the client. In this case, the client is obliged to notify CERTivation of the rejection in writing within three (3) days of the auditor being named and to provide reasons for the rejection. In the event of a justified rejection, CERTivation will appoint another suitable auditor to replace the rejected auditor.

Conduct of the audit by CERTivation
CERTivation carries out conformity assessments, particularly on the client's management systems, in order to determine whether the agreed and/or legally prescribed requirements are met and whether the system is effective in its current form. The applicable standards and rules are observed in this process.

Audits are conducted in accordance with ISO 19011. Depending on the assignment, the entire system or parts of it are checked and evaluated on a random basis.

CERTivation is entitled to allow observers to attend audits, in particular assessors from accreditation bodies in connection with witness audits. Clients will be informed of observers in good time.

Changes to regulations that affect certifications are communicated to CERTivation's clients immediately. Any additional audit activities that may be necessary must be approved by the client.

Audit report
Following the on-site audit, the lead auditor prepares an audit report documenting the results of the audit.

Identified deficiencies
If nonconformities are identified during an audit, these are communicated to the client by the responsible audit team leader and explained if necessary. The client is then obliged to analyze the causes and describe suitable measures to remedy the nonconformities, as well as to plan their implementation within a specified and reasonable period of time.

3.2.2.1 Initial certification

The initial certification audit is divided into:

- Preparation;
- Stage 1 audit;
- Stage 2 audit (including site visit).

Preparation
As part of the preparation, the applicant provides the auditor with the management documents required for the Level 1 audit
as well as an overview of the reference documents, with a mapping to the reference documents required by the respective standard – typically this includes, among other things

- a presentation of the management system as a whole, including a process description
- the guidelines/management specifications,
- the risk analysis,
- a description of the scope,
- Presentation of which requirements of the standard are implemented in the management system.

Level 1 audit
The Level 1 audit is based on the requirements in [17021-1], Section 9.3.1.2, and, in the case of ISMS audits, also on the requirements in [27006], Section 9.3.1.2. A review of the reference documents and a brief assessment are carried out on site:

- The aim of the on-site meeting is to get to know each other and the location as well as the location-specific conditions. Furthermore, the schedule and the further audit are coordinated; for this purpose, aspects are identified that should be given special consideration during the audit.
- To ensure that the standardized requirements for the audit (site visit) can be checked accordingly, the auditor checks whether all applicable requirements of the standard are documented accordingly, in particular risk assessment and treatment, guidelines, and security objectives. In addition, it is determined whether the implementation meets the requirements for a management system with a complete Plan-Do-Check-Act (PDCA) cycle.
- In this context, internal audits and management reviews are examined in particular.
- Finally, aspects of the standard are examined in detail to determine whether the management system is eligible for certification.

The result of the Stage 1 audit is documented in a report. The report forms the basis for the certification body's decision as to whether the audit can continue with stage 2 or whether the applicant must first remedy any deficiencies. In the latter case, the certification body informs the applicant of the information and documentation that is still required. On this basis, the certification body also selects the audit team and carries out the planning for stage 2.

Stage 2 audit
During the subsequent audit, the effectiveness of the management system for implementing the requirements of the selected management standard is finally checked and evaluated on site, taking into account the requirements in [17021-1], section 9.3.1.3:

- For each applicable aspect of the standard, the auditor checks how this aspect of the standard is to be implemented according to the documentation. The auditor reviews the documentation and checks it for completeness, plausibility, and traceability to the requirements of a management system with a complete PDCA cycle.

- For each applicable aspect of the standard, the auditor checks the degree of implementation of the measures specified in the documentation during the site visit.
- In addition, the auditor checks and evaluates the management system to determine whether the requirements for a management system with a complete PDCA cycle are being implemented.
- After the audit is complete, the audit team leader gives the organization a preliminary verbal report on the results of the audit. The audit team may make recommendations for certification. Any nonconformities are recorded and a timeframe for correction is agreed upon with the organization.
- After the audit is complete, the audit team leader prepares a written audit report that records both the results of the audit and other important details. Any nonconformities identified are communicated in nonconformity reports attached to the audit report.

Following the audit, the audit team leader prepares an audit report with a statement on the conformity and effectiveness of the management system, the suitability of the scope, and the achievement of the audit objectives. The audit report remains the property of CERTivation GmbH.

3.2.2.2 Surveillance audit

After the certificate has been issued, a surveillance audit must be carried out at least once a year to maintain the certificate, in which the effectiveness of the management system is checked on site.
The standard [17021-1] specifies the time requirements for surveillance audits:

> "Surveillance audits must be conducted at least once per calendar year, except for years in which a recertification audit is conducted. The date of the first surveillance audit following initial certification must not be more than 12 months after the date of the certification decision."

Additional surveillance audits may be necessary, for example, to take into account additional factors such as seasons.

3.2.2.3 Recertification audit

Before the certificate expires (usually after three years), a recertification audit may be conducted with the aim of extending the validity of the certificate. It is essentially based on the initial certification and is also intended to determine the continued effectiveness of the management system.
Any significant deviations identified must be rectified before the end of the validity period so that the validity can be extended through recertification.

3.2.2.4 Further audits

Further audits may be necessary, for example, in the event of significant changes to the certified management system or extensions/restrictions to the scope. This may result in the need for a new calculation.
In the event of changes to the standard requirements, such as a revision of the standard, a recalculation of the costs may be necessary and must be approved.
In exceptional cases, audits may be carried out at short notice due to changes or complaints.
Furthermore, the certification body decides on the necessity of an additional audit in the event of serious incidents involving an EMS management system.

3.2.3 Certification

After the audit has been completed and the audit results have been reviewed and evaluated, the CERTivation certification body makes its certification decision based on the information provided by the client, taking into account the applicable standards and rules as well as the results of the audit report.

The audited organization will always receive the report on the audit that was conducted. If the audited system meets the requirements of the underlying standard, the organization will receive a certificate and a seal.

The audit report, audit documentation, certificate, certification documents, and seal remain the property of CERTivation. Upon issuance of the certificate, the client receives the simple, non-transferable, and non-exclusive right to use the certificate and seal within the scope of validity and with reference to the area of application. The CERTivation regulations on the use of certificates and certification marks as described in Chapter 4 apply. Certificates and seals may not be altered by the certified organization.

3.2.3.1 Certification decision

The audit documents (reports, deviation reports, audit questionnaire with records) are forwarded to the reviewer, including any corrective measures that may have been submitted. The reviewer checks and evaluates the audit documents submitted to him for appropriateness and comprehensibility of the presentation and decisions, as well as for compliance with CERTivation procedures.
Any questions that arise during the review and evaluation are clarified with the lead auditor. The reviewer forwards the results of their evaluation to the management of the certification body as a recommendation for a decision on certification. A certificate cannot be issued or confirmed if a nonconformity is still open.
If the implementation of corrections and corrective measures by the organization for any significant non-conformity cannot be verified by the certification body within 6 months of the last day of stage 2, a new stage 2 must be carried out before the certification recommendation.
The certification decision is made by the management of the certification body based on the audit report and all additional information available.
The certification body is responsible for and retains sole authority over its decisions regarding certification, including the granting, refusal, maintenance of certification, extension or restriction of the scope of certification, renewal, suspension or reinstatement after suspension, or withdrawal of certification.
The organization will receive the final assessment report from CERTivation with the decision on whether the certificate can be issued.
If CERTivation concludes that the results of the assessment do not allow for the issuance of a certificate, this will be communicated in writing to , together with the reasons for the decision. The organization may appeal against the CERTivation decision.

3.2.3.2 Multiple sites

If the organization consists of multiple sites, the audit time for each site is calculated based on its relevance to the management system and the identified risks. The total audit time for such a procedure is always at least as long as if the entire management system of the organization were operated at one site.
If the applicant operates a management system spread across multiple sites, a sampling procedure can be used for similar sites. The samples must cover all sites over the validity period of the certificate. The sampling plan is planned and documented in the audit plan at the beginning of the certificate's life cycle.
The binding document [IAF MD1] is used as the basis for conducting multiple site certification if a sampling procedure can be applied. If not, [IAF MD19] is used as the basis.

Main and subsidiary certificates

It is possible to generate main and subsidiary certificates from one certificate. For example, in the case of management systems that are spread across several sites, subsidiary certificates can be generated for the sites in order to increase transparency for interested parties. Subsidiary certificates are only valid in conjunction with the main certificate.

3.2.3.3 Certificate handling

CERTivation can refuse, maintain, renew, suspend, restore, withdraw, extend, or restrict certificates.

Refusal
If CERTivation concludes that the results of the assessment do not allow a certificate to be issued, this will be communicated in writing together with the reasons for the decision. The organization may appeal against CERTivation's decision.

Maintain
After successful certification, annual surveillance audits are conducted. Changes in the standard or in your company require adjustments to the management system. Any nonconformities identified in the audit must be corrected in order to maintain the certificate.

Renew
The validity period of a certificate is usually three years. Validity can be renewed through successful recertification. Recertification usually extends the validity of the certificate by another three years. To avoid having an invalid certificate, recertification must be carried out before the certificate expires.

Suspension
A certificate is suspended if

- A significant requirement of the regulations is not met
- The certified customer does not allow monitoring or recertification audits to be carried out at the required frequency
- The certified customer has voluntarily requested a suspension.

The certificate may also be suspended if significant incidents have occurred. These may include, for example, a serious accident or a serious breach of legal obligations that requires the involvement of the competent supervisory authority. Suspension takes place after the certification body has assessed the incident.

Certification may be suspended for a maximum period of 6 months. Following suspension, the reasons for suspension must be remedied and certification reinstated, or the certificate restricted or withdrawn.

Reinstatement
A suspended certificate can be reinstated once the reasons for the suspension have been resolved. The decision is made by the certification authority.

Revocation
A certificate is withdrawn if

- It has been suspended for more than 6 months, a reasonable restriction is not possible, and certification requirements are still not fully met.
- Certification conditions continue to be violated even after a request for change
- The certified customer has voluntarily requested withdrawal.

After the certificate has been revoked, the customer has the option of submitting a new application for certification.

Extension
It may be necessary to change the scope of certification within the three-year certification cycle. In the event of an extension of the scope, the certification process is repeated, starting with the (possibly necessary) assessment of the management system documentation. The process generally continues as normal with a certification audit to extend the scope.

Restriction
The scope of a certificate may be restricted under certain circumstances if the certified customer has permanently failed to meet the certification requirements for parts of the scope. The restriction can only be made in accordance with the standard used.
The restriction does not change the life cycle of the certification.

3.2.3.4 Transfer of certifications

Certification by another certification body can be taken over by CERTivation GmbH under certain conditions.
An additional audit is required for a transfer during the term of a certificate. A regular recertification audit is required for a transfer at the end of the validity period.
In addition to documentation of the management system, the certified organization must also provide documentation of nonconformities identified during the certificate's validity cycle and the planned and implemented measures to remedy them. The minimum requirements for the information to be provided are described in document [IAF MD2].

3.3 Communication

xml-ph-0000@deepl.internal
Information relating to a certification procedure is communicated confidentially between the client, auditor, and certification body. The information is encrypted in an appropriate manner for this purpose.

3.3.1 Information flow of the certification body

The certification body shall notify its certified customers and appointed auditors of any changes in certification requirements. The information shall be published on the CERTivation GmbH website. In addition, each certified customer shall receive the information in the form of a newsletter.
Information relating to individual certifications is communicated directly to those affected.

Upon request, the certification body shall provide information on the name, relevant normative document, scope, and geographical location (city and country) of a specific certified customer, as well as on the status of a certification that has been granted.

3.3.2 Customer's information obligations

In accordance with the certification agreement, the certified customer must inform the certification body without delay of any matters that could impair the ability of the management system to continue to meet the requirements of the standard used for certification. Changes or events to be reported include, among others, those relating to:

- legal, economic, or organizational status or ownership;
- organization and management (e.g., key personnel in management positions, decision-makers, or technical personnel);
- contact address and locations;
- the scope covered by the certified management system;
- significant changes to the management system and processes.
- Occurrence of a serious incident or violation of regulations that requires the involvement of the competent supervisory authority.

3.3.3 Complaints and appeals

Complaints
Complaints can be addressed to any employee of CERTivation GmbH. For reasons of traceability, complaints should generally be submitted to CERTivation GmbH in writing by the complainant, providing all necessary information and documentation. Complaints submitted verbally will be documented in writing.

We usually review complaints in several steps:

- First, we check whether the facts described fall within the scope of certification and whether they can already be assessed on the basis of the information and documents submitted.

- If there are any uncertainties, we clarify the facts further. To do this, we usually request a statement from the certified organization concerned and forward the complaint to them.
- The certified organization reports to us and explains its position.
- If the review shows that there are no issues with the certified organization, we'll let you know as the complainant.
- However, if it turns out that we as a certification body need to intervene, we will continue to deal with the organization in question. If there is sufficient evidence, we can, for example, initiate a special audit of the organization concerned. However, for reasons of confidentiality, we cannot provide any information about the outcome of this audit.

As the complainant, you will in any case receive a final letter regarding your personal complaint.
The "Complaint Management" process of CERTivation GmbH applies in full.

Appeals
As a CERTivation customer, you have the right to appeal a certification decision. CERTivation guarantees that your appeal will be treated confidentially and will not result in any disadvantages for you.

Appeals must be made in writing. Please note the following.
- Provide your name, address, and the case number.
- Provide detailed reasons for your appeal.
- Attach all evidence and documents that contribute to the understanding of the appeal.
- Sign the appeal.

You will receive written confirmation of receipt of your appeal.

Appeals are usually reviewed by CERTivation in several steps:
- The objection is forwarded to the Quality Management Representative (QMR). The QMR first checks whether the facts described constitute a justified objection and whether it can already be assessed on the basis of the information and documents submitted.
- If there are any uncertainties, we will clarify the matter further. To this end, the QMB will usually request a statement from those involved in the procedure and forward the complaint to them. These statements are reviewed by the QMB.
- If the review shows that the certification decision is not objectionable, we will inform you as the appellant.
- However, if it turns out that the appeal is justified, your appeal will be upheld and the decision corrected.

As the appellant, you will be kept informed of the status of the review and will in any case receive a final letter regarding your appeal.
The "appeal management" process of CERTivation GmbH applies in addition.

3.4 Effects of unforeseen events on the certification process

The certification procedure described above assumes that everything goes according to plan. Unfortunately, this is not always the case. Unforeseen events can have an impact on the certification process, for example, restrictions on auditing.
In the event that unforeseeable events necessitate a deviation from the standard certification procedure, the customers affected will be informed and possible solutions will be explored.
Any potential impacts affecting all procedures will be published on the CERTivation website under the "News" section.

4 CERTIFICATION MARKS AND THEIR USE

CERTivation GmbH issues certified customers with a certificate and a logo/seal that they can use for their own external communications. The rules for use described in this section at must be observed.

4.1 Logo

4.1.1 Certificate

The CERTivation GmbH certificate contains the following information:

a) the name and geographical location of the certified customer (or the geographical location of the head office and each location within the scope of a multi-site certification);
b) the date of issuance, extension, or restriction of the scope of certification, or renewal of certification, which may not be earlier than the date of the relevant certification decision;
c) the expiration date, which is identical to the due date for recertification in accordance with the recertification cycle;
d) a unique identification key;
e) the management system standard and/or other normative documents, including an indication of the issue status (e.g., revision date or number), used for the audit of the certified customer;
f) the clear and unambiguous scope of certification with regard to activities, products, and services, as applicable at the respective location;
g) the name, address, and certification mark of the certification body; other marks (e.g., accreditation symbols, customer logo) may be used if care is taken to ensure that they are not misleading or ambiguous;
h) any other information required by the standard or other normative documents used for certification; Certificates for ISO/IEC 27001 contain a clear reference to the valid Statement of Applicability (SOA) using the version number;
i) Additional information for an ISO/IEC 27701 certificate
    a. Clear indication that this is an extension of the ISO/IEC 27001 certification to include a Privacy Information Management System (PIMS) in accordance with ISO/IEC 27701, if applicable:
    b. Indication of whether the certification covers the certified customer's role as a controller (PII controller), processor (PII processor), or both roles.
    c. the specific scope of the PIMS with regard to activities, products, services, and locations, insofar as relevant to the protection of personal data;
    d. Reference to the Statement of Applicability (SoA) also for PIMS;
j) Information on additional control sets used, if available, e.g.:
GDPR, BDSG, local standards
k) A unique version number.
l) In the case of recertification, the following additional information may be added to the certificate:
    • Date of initial certification;
    • the start and end dates of the current certification cycle;
    • the expiry date of the last certification cycle together with the date of the recertification audit.
m) Signature of the head of the certification body
n) Optional reference to other national or international standards that have been used as a source of an additional control set for the Statement of Applicability.

If no activity of the organization within the scope of certification is carried out at a specific physical location, this will be indicated on the certificate, stating that all activities of the organization are carried out remotely.

4.1.2 Logo/seal

CERTivation GmbH is the owner of the certification seal for management systems.

Figure 1 Certification seal of CERTivation GmbH

The logo/seal consists of the "C" from the CERTivation logo, with the certified standard named in the center and the word "CERTivation" underneath.
The logo is provided in a fixed size and resolution to the certified organization. It may only be used in connection with the certified scope within the validity of the certification for external presentation. Modification of the seal is not permitted.

A new seal will be issued on October 1, 2025. We hereby support our customers in designing their websites to be accessible. The seals shown in Figure 1 will remain valid until September 30, 2028.

The appearance of the new seals based on the example of ISO/IEC 27001:

Figure 2: The new seal from October 1, 2025

The new seal consists of the "C" of the CERTivation logo on the left and the respective certification standard on the right, but without specifying the standard version.

4.2 Sign users

Users of the certification mark (certificate and seal/logo) of CERTivation GmbH are customers certified by CERTivation GmbH.

4.3 Right to use the mark

CERTivation GmbH permits the use of certification marks (certificate and seal/logo) exclusively in direct connection with the certified scope. It may be used on websites, information and advertising material.

The certified organization is permitted to advertise with the following marks during the period of validity of the certification:

- Seal/logo;
- Certificate. The certificate may be used for external presentation as a PDF document. The use of excerpts from the certificate is not permitted.

Certification marks (certificate and seal/logo) of CERTivation GmbH may not be passed on to customers of the certified organization for use.
The customer may only use the certification documents issued by CERTivation GmbH in their entirety and not in excerpts or in modified form.

The certification mark may only be displayed in the standard size and design. The standard size and design can be provided by CERTivation GmbH on request. The size and colors of the certification mark may not be altered. The certification mark must always be displayed in its entirety.

When referring to their certification status in communication media, the user of the mark must comply with the requirements of CERTivation GmbH.
CERTivation GmbH requires its customers not to make or allow any misleading statements regarding their certification.
This includes that the certified organization must not use the certification documents or parts thereof in a misleading manner or permit such use.

The use of the mark is limited to the scope of certification. This requires

- Mention of the certification standard applied;
- Presentation in connection with the certified scope and avoidance of misleading references to non-certified areas, activities, locations, products, or services;
- Mention of the certification body.

The certification mark may not be used on test reports, calibration certificates, or certificates.
The marks may not be used on products or product packaging, nor may they be used in any other way that could be interpreted as a mark of product conformity.

The certificate holder must contact CERTivation GmbH if they have any questions regarding the compliant use of the certification mark.
All advertising materials must be amended accordingly if the scope or validity of the certification has been changed. In the event of suspension or withdrawal of certification, the requirements of CERTivation GmbH must be complied with; if necessary (e.g., in the event of revocation or expiry), the use of all advertising materials containing references to the certification status must be discontinued immediately.

CERTivation GmbH requires its customers not to use the certification by CERTivation GmbH in any way that discredits CERTivation GmbH and/or the certification system.
CERTivation GmbH remains the owner of the mark(s) and the certificate.

4.4 Loss of the right to use the mark

The right to use the marks expires automatically upon expiry of the certification. The right to use the marks also expires upon suspension or withdrawal of certification. In such cases, the user of the marks may no longer use any existing documents, records, etc. bearing the marks from the date of expiry.

4.5 Changes to the regulations governing the use of the mark

CERTivation GmbH shall inform the trademark user immediately of any changes to the regulations governing the use of the trademark.

4.6 Use of the accreditation symbol

With its successful accreditation, CERTivation has been granted the right to use the DAkkS accreditation symbol. The versions shown below may be used:

Figure 3 DAkkS accreditation symbol with registration number

Use of the symbol with the registration number is restricted to CERTivation GmbH and requires approval by the head of the certification body.
Use must always comply with the requirements of the Accreditation Symbol Regulation (SymbolVO).

Figure 4 Combined MLA mark of IAF and DAkkS