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Certification Regulations

This document outlines the process of obtaining and maintaining certification with Verisys Registrars LLC. Included are the requirements and rights of a Company undergoing certification services, along with the applicable rules of conduct for the Company and Verisys Registrars LLC.   Verisys Registrars LLC will be referred to herein as "Verisys." The Company requesting certification services is referred to as the "Applicant" or "Company or Client." After a contract is signed and the process has begun, the Applicant is referred to as the "Client. The Certificate of Certification is referred to as the "Certificate."

Table of Contents

Approved by R Breden-President 1/19/2021

Verisys Registrars®
Helpful Auditing

PUBLIC POLICY

Certification Regulations

1.0 Overview of the Certification Process

The basic steps of the Management System Certification Processes are:

a. Company Profile: This detailed description of the Company seeking certification services provides the information necessary for Verisys to perform the certification activities.
b. Quotation: Verisys provides the Company with a price for the different certification activities.
c. Proposal/Application for Certification Services: This is the official document requesting certification services from Verisys. After the Applicant and Verisys approve this document, it becomes a legal contract.
d. Pre-Assessment Audit (Optional): An optional audit to review the Management System for conformance to the applicable requirements. This type of audit does not result in certification.
e. Stage 1 Audit: Normally conducted at the client site to determine if Management System is sufficiently documented to warrant the next steps. This audit includes a Document Review of the Client's Management System Documentation. All nonconformities identified in this review must be addressed before certification will be granted.
f. Stage 2 Audit: Determines if the Client has successfully documented and implemented a Management System for the requirements of a specified standard.
g. Issuance of Certification: After successful completion of the Stage 1 and 2 audit and after the Client has corrected all major nonconformities and addressed all minor nonconformities, the Certificate will be issued to the Client.
h. Surveillance Audit: An Audit conducted at the client site every six or twelve months. It reviews a portion of the standard and determines if the Client is maintaining a Management System in a way that meets the requirements of the standard. The date of the first surveillance audit following initial certification shall not be more than 12 months from the certification decision date.
i. Recertification Audit (Renewal Surveillance Audit): Conducted every three years for Management Systems to review if the client has maintained an effective management system for the applicable standard. After successful completion of the Recertification Audit (Renewal Surveillance Audit), the process starts over at Step g), until the next three-year anniversary occurs for Management Systems. Then another Recertification Audit (Renewal Surveillance Audit) will be conducted.

If a Client does not pass the Stage 2 Audit for Management Systems, or Recertification Audit (Renewal Surveillance Audit) or fails to maintain its Management System Program, a Corrective Action Audit may be implemented to review the situation.

Further details are provided in the next sections of this document.

Verisys Registrars®
Helpful Auditing

PUBLIC POLICY

Certification Regulations

2.0 Requirements

2.1 Each Certified Facility shall:

a. Have Management System documentation that addresses the applicable standard.
b. Document and maintain a Management System in accordance with the applicable standard(s) requirements.
c. Perform a management review and internal audit of the Management System before the Stage 2 Audit.
d. Allow Verisys access to all certified locations during normal working hours to assess the effectiveness of the Management System.
e. Inform Verisys (in writing) of major changes to the Management System (e.g., changes of ownership, management structure, production capability, location, the Management System Documentation, or new significant environmental aspects of the Environmental Program).
f. Inform Verisys of any serious incident or breach in regulation requiring agency involvement.
g. Use the Certification Mark/Logos in accordance with Verisys' requirements as specified in this document and Use of Logos hand-out. Original Certificates are the property of Verisys. May not use the certification in such manner as to bring Verisys into disrepute and may not make any statement regarding its certification which Verisys may consider misleading or unauthorized. Endeavor to ensure that no certificate or report or any part thereof is used in a misleading manner.
h. Upon termination of the certification, discontinue reference to the certification in all advertising material or other documents and return any certification documents as required by Verisys. The Company shall notify its contracting companies that the certification has been terminated and the Company will be required to return the original Certificates to the Verisys office.
i. The certification shall not be used as evidence of product certification, product endorsement, or product approval.
j. Maintain a record of all complaints and remedial actions.
k. Allow Accreditation Bodies, Program Representatives and Regulatory Agencies access for Witness Audits of Verisys and oversight programs of Verisys.
l. Comply with the applicable requirements of the Standard or Program.
m. Comply with the requirements of this document.
n. Have the right to object to the assignment of a specific Auditor and may request that a different Auditor be assigned.

2.2 Verisys Shall:

a. Perform Pre-Assessment Audits, Stage 1 Audits, Stage 2 Audits, Corrective Action Audits, Surveillance Audits, Recertification Audits (Renewal Surveillance Audits) and Transfers, as applicable, to the requirements of the Verisys Policies. Verisys shall issue reports after each

audit. Verisys maintains ownership of all its reports. The Company may reproduce a Verisys report, but only the entire report, as issued by Verisys.

b. Verify the certification status of Certified Companies. This shall include their name, location, certification, and date of certification expiration.
c. Maintain all information pertaining to the applicant and/or client (other than specified in 2.2b) confidential and not release any information without written permission of the applicant except as required by program requirements and/or required by law.
d. Information may be shown to Verisys' Accreditation Bodies or Regulatory Agencies who may review this information as part of a standard Compliance Audit of Verisys.
e. Comply with all Client's rules and regulations while at the Company's facilities.
f. Comply, in all activities, with applicable accreditation body requirements, and Verisys' Quality Policies, Certification Regulations, and procedures.
g. When the desired scope of certification is related to specific system or type of system operated by Verisys, any needed explanation shall be provided to the applicant.

3.0 Company Profile

Verisys requires an authorized representative of the applicant organization to provide the necessary information:

a. The desired scope of the certification.
b. The general features of the applicant organization including its name and address(es) of its physical location(s), significant aspects of its processes and operations, and any relevant legal obligations.
c. General information relevant for the field of certification applied for, concerning the applicant organization such as activities, human and technical resources, functions and relationships in a larger corporation, if any.
d. Information concerning all outsourced processes used by the organization that will affect conformity to requirements.
e. The standards or other requirements for which the applicant organization is seeking certification.
f. Information concerning the use of consultancy relating to the management system.

4.0 Quotation:

Verisys will provide the potential client with quotes for the optional Pre-Assessment Audit, the Stage 1, Stage 2, the Surveillance Audits and any fees. The Recertification Audit (Renewal Surveillance Audit) is normally not quoted unless requested by the potential client or client. Audit time justification is based on applicable standards and knowledge of the specific client. Additional detail is available upon request.

5.0 Application for Certification

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Helpful Auditing

PUBLIC POLICY

Certification Regulations

Verisys will give full consideration to any Application for Certification of a Management System in accordance with the proper standard(s) or programs. Verisys will require the Client to have a documented Management System. If the standard or program requires a management system, the management system is required to be documented and implemented in accordance with the requirements of the applicable Standard or Program.   The Company seeking certification services will complete a Company Profile (or equivalent) and a contract agreement) for the certification process.

For companies seeking certification services:

a. Verisys will never delay requests for certification services without justifiable cause.
b. Verisys will always maintain the necessary level of expertise and capability to perform certification services.
c. Verisys shall make its services accessible to all applicants whose activities fall within the declared field of operation. There shall not be undue financial or other conditions. Access shall not be conditional upon the size of the supplier, or membership in any association or group, nor shall certification be conditional upon the number of certificates already issued.
d. If an Application for Certification is rejected, Verisys will inform the Applicant in writing, stating the reasons for the rejection, and advising that the decision may be appealed. The rejection may also be appealed to the applicable accreditation agency.

The contract (customer agreement) is the legal agreement to conduct the certification activities, including confidentiality requirements and the right of access to the Client to conduct audit activities. The contract shall also require the Client to keep records of all complaints and subsequent remedial actions. These records must be available to Verisys.

6.0 Pre-Assessment Audit

The focus of the Pre-Assessment audit is to determine the readiness of the Client for Stage 1 and 2 Audits. It shall be similar in scope to the Stage 2 unless the Client requests a smaller scope.   Following the Pre-audit, the Client will be issued a report that details the activities not meeting the applicable requirements of the standard. The Auditor(s) will not consult during the Pre-Assessment audit activities. The Client has the right to object to the identified Auditor(s) for the Pre-Assessment Audit. Pre-Assessment audits do not result in Certification.

7.0 Stage 1 Audit

The Stage 1 Audit shall review the following:

a. Audit the client's Management System Documentation (Stage 1 Document Review).
b. Evaluate the client's location and site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for the Stage 2 audit.

Certification Regulations

c. Review the client's status and understanding regarding the requirements of the standard, in particular with respect to the key performance or significant aspects, processes, objectives and operation of the management system.

d. Collect necessary information regarding the scope of the management system, processes and location(s) of the client and related statutory, regulatory and compliance issues (e.g. quality, environmental, legal aspects of the client's operation, associated risks, etc.)

e. Review the allocation of resources for Stage 2 audit and agree with the client on details of the Stage 2 Audit.

f. Provide a focus for planning the Stage 2 audit by gaining sufficient understanding of the client's Management System and site operations in the context of possible significant aspects.

g. To evaluate if the internal audit and management review are being planned and performed and that the level of implementation of the management system substantiates that the client is ready for Stage 2 Audit.

For most management systems, it is recommended that at least part of the Stage 1 Audit be carried out at the client's premises in order to achieve the objectives stated above. Stage 1 audit findings shall be documented as Areas of Concern or Opportunities for Improvement OFI's. The duration between Stage 1 and Stage 2 Audits will be determined from the needs of the client to resolve the nonconformities identified during the Stage 1 Audit. During the Stage 1 review, Verisys may change the original planned duration between Stage 1 and Stage 2, this could include incorporating the required aspects of Stage 1 and 2 into a back-to-back audit.

8.0 Stage 2 Audit

The purpose of the Stage 2 Audit is to evaluate the implementation, including effectiveness of the client's management system. The Stage 2 audit shall take place at the site(s) of the client. It shall include at least the following:

a. Information and evidence about conformity to all requirements of the applicable management system standard or other normative documents.

b. Performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document).

c. The client's management system and performance as regards legal compliance.

d. Operational control of the client's processes

e. Internal auditing and management review

f. Management responsibility for the client's policies

g. Links between the normative requirements, policy, performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document), any applicable legal requirements, responsibilities, competence of

Certification Regulations

personnel, operations, procedures, performance data and internal audit findings and conclusions.

Each Auditor will examine the specific area or activity assigned by the Lead Auditor. This may involve interviews, examination of documents and observations. The objective is to thoroughly determine the implementation of the management system standard.

During the Audit, the Auditor(s) will identify any nonconformities. These will be handled in accordance with section 9.0. Once the nonconformities have been addressed per section 9.0, the Lead Auditor will make a recommendation for certification or non-certification. Certification will take place in accordance with Section 11.0.

An Auditor does not give consultancy as part of an Audit.

9.0 Audit Nonconformity Reports (NCRs)

Nonconformities identified during Audits will be documented on the Verisys Nonconformity Report (NCR). In accordance with Verisys' Technical Procedures, the Lead Auditor will determine if the nonconformities are major or minor.

9.1 Management System Nonconformity Definitions

A major nonconformity is a nonconformity that affects the capability of the management system to achieve the intended results.

Note: Nonconformities could be classified as major in the following circumstances:

- If there is a significant doubt that effective process control in in place.
- A number of minor nonconformities associated the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity.

A minor nonconformity is a nonconformity that does not affect the capability of the management system to achieve the intended results.

For multi-site clients, if a nonconformity is found at any individual site either through the client's internal audit or an audit performed by Verisys, Verisys will review the nonconformity to determine if the deficiency is applicable to the other sites. If they are found to be applicable to the other sites corrective actions shall be performed and verified at both the main site and at the individual affected sites. If the nonconformity is found not to apply to other sites, the client must be able to demonstrate to Verisys the justification for limiting the follow-up corrective action. This may affect the audit plan and program that can be changed at any time allowing Verisys to obtain evidence of the corrective action(s). This may increase the sampling frequency or size of the sample until control is re-established and deemed satisfactory by Verisys. At the time of making a certification decision, if any site has a major

Verisys Registrars®
Helpful Auditing

PUBLIC POLICY

Certification Regulations

nonconformity, certification will be denied to the whole multi-site organization of listed sites pending satisfactory corrective action. It shall not be admissible that, to overcome the obstacle raised by the existence of a nonconformity at a single site, the organization seeks to exclude from the scope the "problematic" site during the certification process.

9.2 Governmental Regulation or Legislation

In the event that an infringement of governmental regulation or legislation is identified during the audits activities, this violation(s) is documented on a Nonconformity Report. This nonconformity will be written as a failure to implement the Environmental System, not as a violation of regulatory requirements. If it is a criminal act that has an imminent danger to the environment, Verisys must report to the proper authorities.

9.3 Deadlines for Nonconformity Reports

For most NCRs, regardless of severity (major/minor) or initiating activity, the client is required to send in:

  a. Plan for Correction
  b. Cause of Nonconformity and
  c. Plan for Corrective Action

within 30 calendar days of the date the NCR was written. This due date will be documented on the NCR. This due date may vary by standard.

The due date for implementing correction and corrective action is dependent on the severity of the NCR (major/minor).

Major NCRs

The due date for completion of the Corrections and Corrective Actions by the client and Verisys' verification of effective implementation depends on the standard, the type of audit, and the severity of the Nonconformity., In all cases, the due dates will be documented on the NCR form. The following is true for most standards:

  1. At Stage 2 audits – Certification cannot proceed until all major NCRs have been closed by the Verisys auditor. For the Stage 2 audit, if the NCRs are not closed within 6 months, then a new Stage 2 is required before certification.
  2. At Recertification Audits (Renewal Surveillance Audits) – Certification cannot proceed until closure. However, if the NCRs are not closed in 6 months, a new Stage 2 is required to be conducted before certification.
  3. At Surveillance Audits – Generally between 60 and 120 days, depending on the standard.

Minor NCRs

Approved by R Breden-President 1/19/2021

Verisys Registrars®
Helpful Auditing

PUBLIC POLICY

Certification Regulations

Implementation of the Correction and Corrective Action by the client, and Verisys' on-site verification of effective implementation is generally due at the next regularly scheduled audit. Some standards, however, may have differing requirements for due dates. In all cases, the due dates will be documented on the NCR form.

9.4 Client's Response to a Nonconformity Report

After a nonconformance has been found the client must respond per the instructions on the audit report.

The Lead Auditor must accept or reject each portion of the client's response and inform the client of the decisions. If the client's response is rejected, the Lead Auditor will ask for a more appropriate response and assign a short extension period for the due date.

If no response is received by the due date, or if the client continues to fail to provide an acceptable response, Verisys will take further actions. For major NCRs, suspension activities will be initiated. For minor NCRs, the NCR will be elevated to a major NCR.

10.0 Corrective Action Audits

If a clause of a standard is found to have major nonconformities, a Corrective Action Audit may be conducted.

An Audit Plan will be developed for the specific nonconforming clauses. This Audit will be conducted in accordance with the requirements of paragraph 8.0 (except for audit scope).

Corrective Action Audits are a type of Special Audit. See section 24.0 for additional details on Special Audits.

11.0 Certification

Based upon the Lead Auditor's recommendation for certification and the Verisys Certifier's decision for certification, the Certificate will be issued. For Management Systems, certification is valid for three years. Maintaining the certification is dependent upon the Client's maintenance of their Management System and their adherence to Verisys' Certification Regulations.

12.0 Use of the Certificate and Marks

12.1 General

Upon certification, the Client is issued one or more original certificates. All originals remain the property of Verisys. The Certificates may be copied by the Client.

Upon certification, the Client is entitled to use the Verisys mark/logo and the applicable accreditation body mark/logo.

Verisys Registrars®
Helpful Auditing

PUBLIC POLICY

Certification Regulations

Verisys will take action in response to misuse of the marks or logos such as incorrect references to the certification system or misleading use of licenses, certificates or marks, found in advertisements, catalogues, etc., Actions may include Nonconformity Reports, or for severe misuse, suspension or withdrawal of the certification.

A Client awarded certification shall stop the display or other use of the Certificate, Verisys' mark/logo, and the accreditation agency marks/logos, as soon as possible after the following conditions

   a. A lapse, suspension, or withdrawal of certification.
   b. When the Client makes a major change to its Management System that is not acceptable to Verisys because Verisys believes that the change will negatively affect the Client's qualification for certification.
   c. When the Client has failed to adequately respond to a change in requirements of an applicable standard or requirements issued by Verisys or the applicable accreditation body.
   d. Under circumstances that could reasonably be expected to adversely affect the Client's Management System.

12.2 Management System Use of the Certificate and Marks

The marks shall not be used on a product or in any way that may be interpreted as denoting product conformity. The certification marks/logos may be used on advertising materials, supplier letterheads, or other material that is not used on the product. More specific guidance for the marks is provided upon certification and is also available on Verisys' website.

13.0 Verification of Certificates

Verisys will verify, upon request, the certification status of Certified Companies. This shall include their name, location, certification, and date of certification expiration. The information provided will be from the information on the Certificate.

14.0 Surveillance Audits

After certification, Surveillance Audits are conducted every six months or annually to review selected clauses of the standard. After three years, a Recertification is conducted.

Surveillance Audits are on-site audits, but are not necessarily full system audits, and shall be planned together with the other surveillance activities so that Verisys can maintain confidence that the certified management system continues to fulfill requirements between Recertification Audits (Renewal Surveillance Audits). The Surveillance Audit program will include at least:

   a. Internal audits and management reviews
   b. A review of the actions taken on nonconformities identified during the previous audit
   c. Treatment of complaints

Certification Regulations

d. Effectiveness of the management system with regard to achieving the certified client's objectives
e. Progress of planned activities aimed at continual improvement
f. Continuing operational control
g. Review of any changes
h. Use of marks and/or other reference to certification
i. Surveillance Audits shall be conducted at least once a year. The date of the first surveillance audit following initial certification shall not be more than 12 months from the certification decision date.

15.0 Recertification / Renewal

A Recertification Audit (Renewal Surveillance Audit) is planned and conducted to evaluate the continued fulfillment of all the requirements of the relevant management system or other normative document. The purpose of the Recertification Audit (Renewal Surveillance Audit) is to confirm the continued conformity and effectiveness of the management system as a whole, and its continued relevance and applicability for the scope of certification. The Recertification Audit (Renewal Surveillance Audit) shall consider the performance of the management system over the period of certification and shall include the review of previous Surveillance Audit reports. Recertification Audit (Renewal Surveillance Audit) activities may need to have a Stage 1 Audit in situations where there have been significant changes to the management system, the client, or context in which the management system is operating (e.g. changes to legislation).

The Recertification Audit (Renewal Surveillance Audit) shall include an on-site audit. The audit shall address the following management system requirements:

a. The effective interaction between the processes of the management system,
b. The effectiveness of the management system in its entirety in the light of internal and external changes,
c. Demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance,
d. The operation of the registered management system as it contributes to the achievement of the client's policy and objectives.

For most standards, if no negative trends exist and no major nonconformities are identified, the Lead Auditor will make a recommendation for re-certification of the Client. If major nonconformities are identified, a Corrective Action Audit may be required. If so, it will be conducted per paragraph 10.0.

The Recertification will be followed by another round of Surveillances. The certification cycle will repeat itself every three years. Certification will take place in accordance with 11.0.

16.0 Modification of Scope

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Verisys Registrars®
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PUBLIC POLICY

Certification Regulations

The Client shall notify Verisys if the Client wants to increase or decrease the certification scope. Verisys will investigate the change in scope to decide the applicable actions.

If a decrease in the certification scope is requested, appropriate steps will be taken to modify the scope.

If an increase in the certification scope is requested, the next Surveillance will normally be increased to review the scope change. If necessary, a Recertification will be conducted.

17.0 Changes to the Client's Management System

The Client shall notify Verisys in writing within 30 calendar days of any major changes to its Management System that affect its certification. A major change to the Management System is defined as one that involves organization or procedures that affect the implementation of the Management System to a substantial degree.

Examples of major changes include a sale of the Client involving a management change, deletion of the registered management system, downgrading of the management system procedures, decisions to not conduct internal audits, a change in technology or legislation, or a downgrading of management resources to conduct the applicable Program.

Verisys will investigate the change to determine if an additional audit is necessary. Verisys may decide it is necessary to do any of the following: perform a Special Audit that reviews the concerns; perform a Recertification; perform a review of documentation; or take no further action.

18.0 Changes in Requirements of the Applicable Standard

When there is a change in the requirements of the standard to which a Client is registered, Verisys will notify the Client. If the Client's registered system does not meet the new requirements within the requisite timeframe, the Client's certification will be withdrawn.

19.0 Changes in Verisys' Requirements

Verisys shall give its certified Clients due notice of any changes to its requirements for certification. Verisys shall verify that each certified Client complies with the new requirements.

The Client will be notified via Web Site and/or email of any change to the Certification Requirements that affect the Client.

20.0 Complaints

Any person or entity may file a complaint about Verisys' Certification Program or certification decision.

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PUBLIC POLICY

Certification Regulations

A complaint is defined as a disagreement that does not affect the outcome or decision of the certification activities or the certification scheme. The complaint may be made orally or in writing to Verisys. In addition, any person may file a complaint about one of Verisys' certified Clients.

The President of Verisys is responsible for the investigation and conclusion of complaints. The person or entity filing the complaint will be notified of the results. If there is disagreement with the results, an appeal may be filed in accordance with paragraph 21.0, or the appropriate accreditation agency may be contacted concerning the complaint.

21.0 Appeals

Any person or entity may file an appeal about Verisys' Certification Program or certification decision. An appeal is defined as a disagreement that affects the outcome or decision of the certification activities or certification scheme. The appeal shall be made to Verisys in writing. Appeals shall not result in any discriminatory actions against the appellant.

The President of Verisys will process the appeal in accordance with Verisys' procedures. An appeal committee will be formed to address the appeal.

If the review for the appeal is extensive, the cost for the review may be split between the Company filing the appeal and Verisys.

 The person or entity filing the appeal will be notified of the decision. If there is disagreement with the results of the appeal, the appropriate accreditation body may be contacted concerning the appeal.

22.0 Suspension of Certification

Verisys shall suspend certification in accordance for cases when, for example:

a. The client's certified management has persistently or seriously failed to meet certification requirements including requirements for the effectiveness of the management system.
b. The certified client does not allow surveillance or Recertification Audit (Renewal Surveillance Audit) to be conducted at the required frequencies
c. The certified client has voluntarily requested a suspension.
d. The certified client has not paid for certification services as agreed.

Under suspension, the client's management system certification is temporarily invalid. In the case of suspension, Clients must refrain from further promotion of its certification and/or use of the marks. Also, the client shall make no misleading claims and should advise relevant existing and potential purchasers regarding the status of certification and return any certification documents as required by Verisys.

Approved by R Breden-President 1/19/2021

Verisys Registrars®
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PUBLIC POLICY

Certification Regulations

A Client's failure to resolve the issues that have resulted in the suspension in a time established by Verisys shall result in withdrawal or reduction of the scope of certification.

NOTE In most cases a suspension would not exceed 6 months.

Process for restoring a suspended certification: Verisys Registrars shall restore the suspended certification if the issue that has resulted in the suspension has been resolved and evidence provided per Verisys Registrars' requirements by the deadline. Failure to resolve the issues that have resulted in the suspension by the deadline shall result in withdrawal or reduction of the scope of certification.

23.0 Withdrawal of Certification

Verisys may withdraw the certification, the Certificate and Marks, and cancel all agreements with the Client in the following cases:

   a. If the certification is suspended and no corrective action is implemented.
   b. If Verisys identifies major nonconformities which may cause improper implementation of the requirements of the applicable standard.
   c. By formal request of the Client.
   d. If the requirements of the standard change and the Client will not or cannot ensure conformance to the new requirements.
   e. If the Client ceases to supply the product, process or service defined in their certification scope for an extended period of time.
   f. If the Client fails to meet financial obligations to Verisys.
   g. On any other grounds specifically provided for under the system rules or formally agreed to between Verisys and the Client.
   h. For multi-site clients, the certification will be withdrawn in its entirety if any of the sites does not fulfil the necessary provisions for the maintenance of the certification.

Clients must stop all promotion of its certification and/or use of the marks. Also, the client shall make no misleading claims and should advise relevant existing and potential purchasers regarding cancellation of certification and return any certification documents as required by Verisys.

Process for restoring a withdrawn certification: In order to resume certification, the client will need to begin the process with new Stage 1 and Stage 2 audits.

24.0 Special Audits and Short-Notice Audits

If the Client has a significant change to its Management System that affects the implementation of the applicable standard or program, Verisys may deem that a Special Audit is necessary.

Verisys Registrars®
Helpful Auditing

PUBLIC POLICY

Certification Regulations

Verisys may perform a Special Audit as a result of a complaint, appeal, as follow up on a suspended client or upon receipt of information that a Client is not properly implementing its Management System.

Special Audits will be conducted with the Client's permission, but the Client may have only a short notice of the Audit's date and content.

In order for Verisys to comply with ISO 17021-1, it may be necessary for Verisys 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:

a. Verisys shall describe and make known in advance to the certified clients the conditions under which such audits will be conducted;
b. Verisys shall exercise additional care in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members.

25.0 Transfers of Certification

The transfer of certification is defined as the recognition of an existing and valid management system certification, granted by one accredited certification body, by another accredited certification body, for the purpose of issuing its own certification. If a Company who is already registered by an accredited registrar desires certification from Verisys, Verisys can transfer the certification by following the normative criteria on the transfer of accredited management system certification between certification bodies specified by IAF MD-2.

26.0 Additional Requirements for Standards or Programs

Standards or Programs may have additional requirements for both Verisys and the Client. Verisys will implement all the requirements applicable to a registrar for the standard or programs and the Client is required to follow all the applicable requirements of the standard program.

27.0 Definitions

Applicant—The Company that is applying to Verisys for certification services.

Certification—The decision by Verisys that the Applicant's Management System meets the requirements of the specified standard.

Document Review—A review of the Client's documentation and required procedures, to assess compliance to the applicable standard.

Pre-Assessment Audit—an optional first review of the Management System to identify its strengths and weaknesses. This Audit does not result in certification.

Approved by R Breden-President 1/19/2021

Verisys Registrars®
Helpful Auditing

PUBLIC POLICY

Certification Regulations

Stage 1 Audit— Review to determine if the Management System is sufficiently documented and implemented to warrant a Stage 2 Audit. It includes a Document Review of the Client's Management System documentation.

Stage 2 Audit—Review of the Management System to determine conformance to the designated standard.

Surveillance Audits—Audits carried out to review portions of the Management System.

Recertification Audits (Renewal Surveillance Audits)—An Audit of the Management System that occurs approximately three years after the certification.

Standard—The recognized commercial, national, or international standard governing the Management System (i.e. ISO 9001, ISO 14001, ISO 13485 etc.).

Certificate—Document issued upon certification stating that the Management System has been audited by Verisys and found to meet the requirements of the applicable standard.

Management System—The documented, implemented, and maintained actions that fulfill the requirements of the applicable standard.

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