



Certification Regulations and Requirements

of

International Certification Management GmbH (ICM)

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General

These Certification Regulations and Requirements apply to the auditing, certification and maintenance of the certification of management systems. They govern the contractual relationship between ICM and its clients.

The certificate holder / new customer

- can request information on the auditors (e.g. a brief CV),
- can reject auditors if there is good cause for such a refusal (e.g. impartiality due to a competitive situation)
- may lodge object or appeals against decisions of the certifying authority,
- may use the certificate in accordance with current Certification Regulations and Requirements (e.g. on web-sites or in brochures),
- recognises these Certification Regulations and Requirements as a binding basis for assignments for auditor assignments
- must meet the requirements for certification and provides the following documents for Initial Certification Audits and Re-Certification Audits,
 - Showing the new customer / certificate holder is a legal entity, e.g. copy of business license, copy of the business registration
 - Organizational Chart or similar document showing the main responsibilities within the organization
 - Prozesslandkarte
 - A process map or similar document showing the processes of the organization
 - Handbuch, falls vorhanden
 - Management System Manual or document describing the main components or processes of the organization to be audited, if in existence
 - a description of the scope and application of the Management System (if not part of the Management System Manual)
 - Qualitäts-, Energie- und/oder Umweltpolitik (wenn nicht Teil des Handbuchs)
 - Quality, Energy, Safety and or Environmental Policy (if not part of the Management System Manual)
 - Objectives and plans to achieve them
 - Report of the internal audit
 - Managementreview
 - meeting meeting or similar document showing the results of the management review
 - If applicable, records showing the corrective actions as a result of non-conformities identified during the last audit

Certification Regulations

- will notify the certifying authority of all changes after certification e.g.
 - changes in the management system and changes which the conformity of the management system,
 - changes in the scope of the certification,
 - changes in contact, addresses or locations(s),
 - changes in the number of employees in the organisation,
 - changes in the structure of the company/organisation, the legal form or its ownership,
 - notification of customer special status (only applicable for VDA),
- may make no statements on the certification over and above the scope stated on the certificate,
- may not use the certification, certification documents, certification logo and audit reports in a misleading manner, and in particular must not give the impression that a product or service is certified,
- must record any complaints and objections relating to the certified management system. Corrective actions which are taken must be disclosed if requested by the certifying authority,
- must have a system that defines and determines reportable accidents and legal violations and determines their severity not applicable for QMS certifications,
- must report serious reportable accidents and serious violations of legal obligations, which require the involvement of the competent supervisory authority, to the certification body immediately,
- must bring neither the certification nor the certifying authority into disrepute through his statements,
- after certification has been suspended, cancelled or withdrawn, the client must discontinue any promotion and advertising which refers to the certification or be specific which documents Documents must be surrendered if so requested by the certifying authority,
- allows the presence of witness auditors of accreditation body during audits. This also applies to internal witness auditors of ICM GmbH.

The certifying authority

- will use all the confidential information to which it has been given access by its clients exclusively for the purpose of auditing and certification. Such information is not passed on to third parties. The exception to this is when ICM GmbH is audited by the Accreditation Bodies where they may access client information such as audit reports.
- will inform the client before confidential information is passed to the accreditation authorities (e.g. audit reports),
- will archive management documents submitted by its clients in a manner that excludes access by third parties,
- will destroy the client's management documentation at the end of the contractual relationship or returns the documentation to the client at the client's request,
- will create all the conditions necessary in order to perform services in accordance with the, applicable statutes and the Certification Contract
- will coordinate and schedule dates for the respective audits in a timely manner
- will ensure that certification and monitoring of its clients' management systems is impartial and in a timely manner,
- may conduct an extraordinary audit due to a reportable accident, violation of law or non-fulfilment of requirements,
- will retain only competent and reliable auditors for conducting audits,



Certification Regulations

- The certification body has the sole right to select the auditor
- will not undertake consultancy on management systems,
- can carry out an unannounced audit at the client, if and when it is necessary
- will maintain a list of its certified clients showing the scope and status of the certification and will make this list available on request,
- is responsible for its decisions regarding certification, including the issue, refusal, maintenance of certification, extension or restriction of the scope of certification, renewal, suspension or restoration after a suspension, or withdrawal of the certification
- if requested, will provide information on the auditing, issue, renewal, maintenance, extension, restriction, suspension or withdrawal of the certification of its clients,
- will calculate the time requirements for auditing (man-days) On the basis of the applicable International Accreditation Forum (IAF) documents

Promotion and publication of certificates

The certificate holder may use the certification as documentary evidence of conformity to his clients or other interested parties or persons; the certificate holder may also use the certification for promotional purposes. Product-related promotion with the certification is not permitted.

Use of the logo

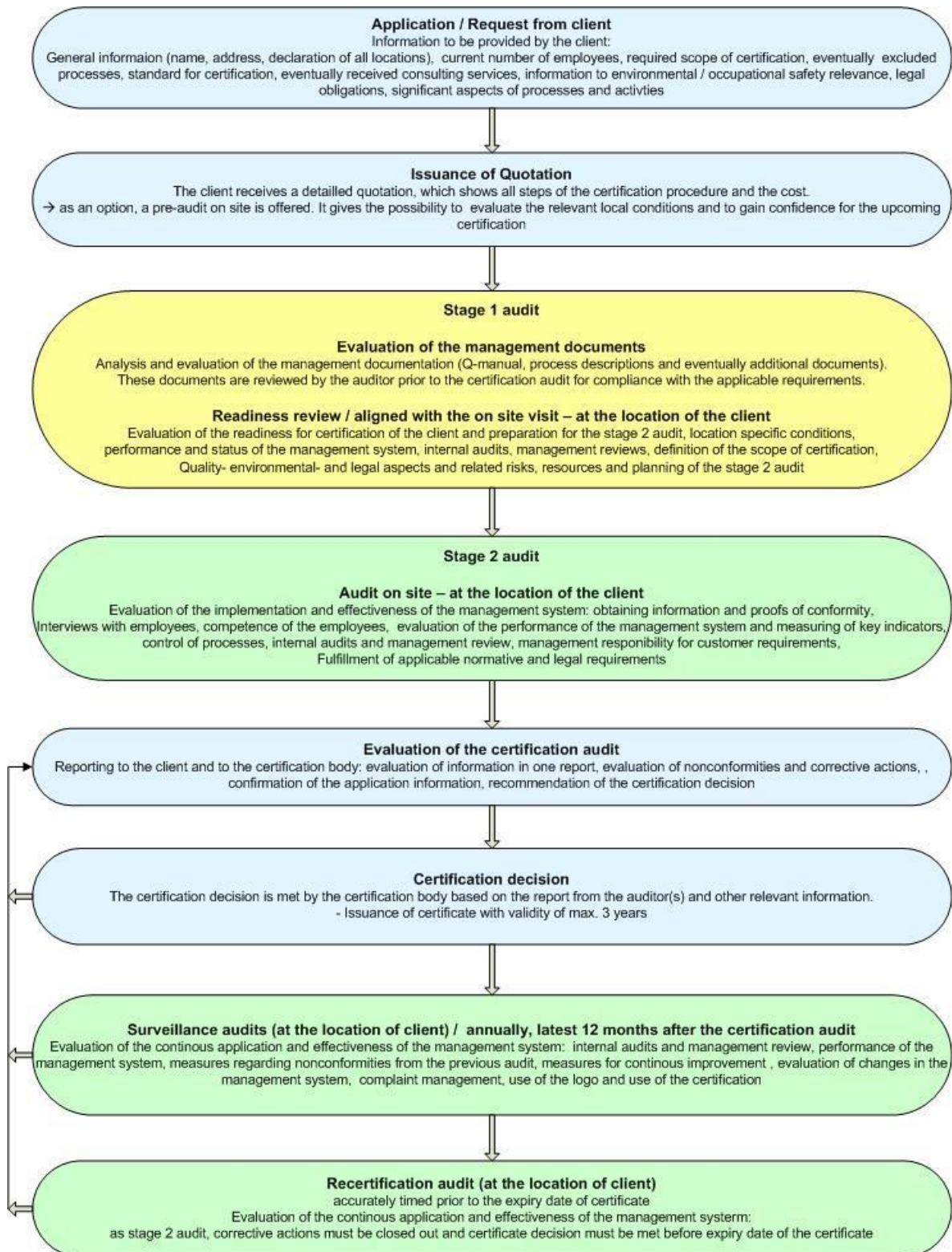
The logo of International Certification Management GmbH may be used in conjunction with reference to the certification of management systems, for example, on company letter, brochures and web-sites. The logo may only be used in the specified design (colours, shape and content). It may not be applied to products or their packaging such that a conclusion could be drawn that it certification relates to product certification. The use of the logos on laboratory test reports, calibration certificates or inspection reports is prohibited.

Use of the logo is only permitted for the period of certification. The right of use lapses on the expiry of the certification.

Logos of the accreditation and approval authorities may only be displayed on the certificate. The logos may not be displayed elsewhere.

Certification Regulations

Flow diagram of the basic certification sequence over three years



If the scope of the certification should change, or in the event of third party complaints in respect of the management system, or if the organisation's location should change, or after reportable accidents, or infringements of the law it may be necessary to conduct unscheduled audits in order to verify the continuing conformity of the management system.

Certification Regulations

Suspension

Suspension is the annulment of the certification for a defined period of time.

Examples of possible reasons are:

- Failure to meet the requirements of the management system,
- Failure to conduct monitoring or re-certification audits as and when they fall are due,
- Complaints on the part of third parties about the client's management system.

All promotion using the certification must cease during the period of suspension of the certification. The certificate will be definitively withdrawn or its scope restricted if corrective action is not taken within an agreed period of time. The suspension has to be published by the certificate holder when requested by the certifying authority.

Withdrawal

Withdrawal of the certification is the definitive revocation of the certificate.

Examples of reasons for withdraw include but are not limited to :

- Failure to implement agreed actions within the defined period of time (see "Suspension of Certification",
- Failure to fulfil contractual agreements made between the certifying authority and the client,

The withdrawal has to be published by the certificate holder when requested by the certification authority. The certificate must be returned to the certifying authority without delay.

Cancellation

Examples of possible reasons for the cancellation of the certificate are:

- Termination of the certification at the certificate holder's request,
- Closure of the ~~production~~ certified facility (ies),
- Discontinuation of the certified activities.

The certificate holder's name will be deleted from the list of certified organizations. The certificate must be returned to the certifying authority. Cancellation of the certification is not a sanction.

Restriction

Examples of possible reasons for an amendment of the scope of the certification are:

- Discontinuation of a part of the certified activities,
- Failure to meet requirements in a part of the scope of certification.

Restriction leads to the re-issue of the certificate. The original certificate must be returned to the certifying authority.



Certification Regulations

Termination of the contractual relationship between the certifying authority and the client

The contractual relationship may be terminated if

- required audits cannot be conducted within the required time period
- an audit reveals that the pre-requisites for certification no longer exist,
- the certificate is used in misleading or otherwise inadmissible promotion, or the certificate is misused,
- invoices are not paid after the third reminder,
- the client objects to changes in these Certification Regulations and Requirements within a period of six weeks after it comes into effect and objects in writing to this information and no other agreement can be. In such cases the existing version remains in effect ~~foree~~. However, the certifying authority has the right of extraordinary termination.

Appeals

Appeals against the decisions of the certifying authority must be provided in writing to the certifying authority.

Appeals will be handled by persons other than those involved in the case. If the parties cannot reach an agreement, the case may be passed to the Impartiality Committee of International Certification Management GmbH.

The party appealing the decision by the certifying authority will be regularly informed about progress and about the final decision.

Complaints

Complaints about the certifying authority may be forwarded to the certifying authority in written or oral form. Complaints will be assessed and processed independently. The outcome will be communicated to the person making the complaint.

Complaints made by third parties about certified clients will be forwarded to the client. The corrective action to be taken by the client will, if necessary, be independently assessed for its effectiveness by an extraordinary audit or during the next scheduled audit.

If the parties cannot reach an agreement, the matter may be referred to the Impartiality Committee of International Certification Management GmbH.

Amendments

International Certification Management GmbH will inform its clients about important amendments to the Certification Regulations and Requirements. The current version of the Certification Regulations and Requirements is available on the web-site www.ic-management.com.

Liability

The certifying authority is only liable to the client or third parties to the extent defined by law in the event of intent or gross negligence. All other liability is excluded.

Except in the case of intent or gross negligence, International Certification Management GmbH is not liable for loss or damage incurred by the client from the failure to issue a certificate or from the termination, suspension or withdrawal of a certificate.