1 PURPOSE

The purpose of this operating procedure is to describe and control the procedure for the certification of the management system according to standard ISO 9001.

2 SCOPE

This procedure for certification applies to all companies which are holding a certification contract with QS Zürich AG and have received a certification which is covered by accreditation.

3 PROCESS RESPONSIBILITY

In each case QS Zürich AG is responsible for the certification service process. The application review has to be done by QS Zürich AG. The person in charge at the local contact unit has to propose the audit team, QS Zürich AG has to confirm before proceed an audit task. The arrangement of audit date and the commercial part is in responsibility of the person in charge at the contact unit. The person in charge at the local contact unit has to organize the review with an appointed reviewer which is also an auditor for ISO 9001.
The actual declaration of certification towards the client lies with a member of the management of QS Zürich AG.

4 PROCESS CONDITIONS

4.1 Obligation and Cooperation with authorities

Our contact point for the certification and accreditation of ISO 9001 is the Swiss Accreditation Service (SAS) of the Swiss government in Bern or if available local accreditation services.

4.2 Work environment

- The performance of certifications in accordance with ISO 9001 is subdivided in different fields of applications (scopes).The scopes of accreditation are listed in the register of the SAS or if available in registers of other local accreditation services.
- If there is a scope not listed, in the compliance of the client we will achieve a certification with a third party or a private label.

4.3 Conditions

The conditions for the certification are as follow:

- The client can have a certification process which combines the certification process for ISO 9001 and other international standard certifications, we will do the implementation in accordance and evaluation consider of other certification processes. Due to the implementation of different certifications the certification process can be aggregated, depleted, as conformance is in accordance to the same specifications.
- In accordance with our client the different certifications will be registered as one contract number. The different certificated standards will be listed at one certificate and will be registered under the same certification number.
- If there are different locations from the client it has to be done random sample at the different locations. The complete system from the client has respected appropriately to the complete company of the client.
- Time of surveillance in accordance of ISO 9001 is once a year. After 3 years it has to be re-certified. If the validity of the audit is not influenced, it is possible to split the surveillance in several controls a year.

4.4 Supervision

Within the range at certification of quality management systems there is a committee for safeguarding the impartiality, which can be appointed for solving complaints. The other tasks of the committee is described in the separate description.
The correctness of the certification will be proofed by a reviser; in case there are any questions about the decision of certification the reviser will be consulted as well.

5 CERTIFICATION PROCESS

5.1 Contact meeting

Contact meetings with the client are held. Goal of the talk is to elaborate a concrete proposal for the client. Because of the activity of the company, the relevant IAF code and the responsible auditor are proposed.

Such meetings have the following objectives

- To inform the client about the certification procedure and the requirements of a certification by a delegated member of QS Zürich AG (e.g. documentation, execution of internal audits, first time management review etc.)
- For the certification process it is necessary to get all the details from the client (like address, contact person, locations, size of the organisation….) and the desires of the client regarding the certification.
- Check up the field of activity and resources from the client to see, if all the requirements are covered by the accreditation, if it is necessarily, with the client to consider for an additional third party or a private label.
- Record of current status, maybe pre-audit.
- The client has to be informed, that his documentation (at least the process overview, the scope, the risk analysis with his inputs and the main procedures) must be available for inspection by QS Zürich AG auditor in charge before the certification date.

Due to the activity of the organisation, the relevant IAF code and the responsible auditor are defined.
During the visit of the organisation it is also possible, to visit on site the operational part (stage 1 audit) and to check the documentation therefore to achieve the application for the certification.

If QS Zürich AG is not able to offer the certification service (e.g. QS Zürich AG is not accredited), the client will be informed about the decision and reasons, this is documented in FO 303ff.

5.2 Calculation audit time

Due to the contact meeting information the client will get an offer for his special certification procedure.
If there is no possibility for a contact meeting all information's regarding the certification offer of the client will be done by search operations like phone, internet, government inquiries,…

All information will be verified for a feasibility study. There to fill in form 303 to erect an offer.

Conditions mentioned on the IAF MD5 Documents serve as calculation basis for expenses. The guidelines to be considered are indicated hereafter:

- The requirements of the corresponding norm of Management-System
- Size and complexity
- Technological and regulatory correlation
- Each spin-off activity related to the Management-System application area
- Results of previous audits
- Amount of locations and possible multiple locations
- Amount of shifts (base for calculation: shift with the maximum employees)
- Risks related to products, procedures and activities of the organisation
- If it is related to combined, collective or integrated audits

These are approximate values to be adjusted to the client's needs and to be justified in case of divergence. The final offer of expenses is to be included as a part of the contract with the client.

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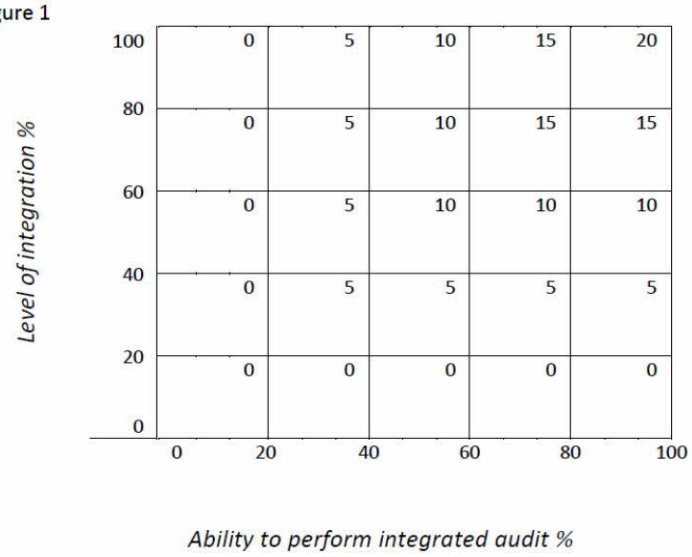
5.2.1 Audit time (based on IAF-MD5)

Audit outlay	1	2	3	4	5
Number of involved staff	Preset value days for certification Stage1 and 2	Numbers of days first certification on site eff. 80% of 1 Stage 1 and 2	Numbers of days surveillance on site 33% of 2	Preset value days for recertification 66% of 1	Numbers of days recertification on site eff. 66% of 2
1 - 5	1.5	1.2	0.4	1.0	0.8
6 - 10	2	1.6	0.6	1.4	1.2
11 - 15	2.5	2.0	0.7	1.6	1.4
16 - 25	3	2.4	0.8	2.0	1.6
26 - 45	4	3.2	1.1	2.6	2.2
46 - 65	5	4.0	1.4	3.3	2.8
66 - 85	6	4.8	1.6	4.0	3.2
86 - 125	7	5.6	1.9	4.6	3.8
126 - 175	8	6.4	2.2	5.3	4.4
176 - 275	9	7.2	2.4	6.0	4.8
276 - 425	10	8.0	2.7	6.6	5.4

5.2.2 Standard for integrated/combined audits (Basis Document IAF MD 11)

Audit time reduction

Figure 1



This illustration shows the decrease (%) of the audit duration by combined audits and their relation in the following way

Vertical axes show the level of integration of the Management-System that an organisation being controlled should have in order to respond to matters involving multiple aspects.

Horizontal axes show the qualification level of the different members of the auditor team, allowing them to handle more than one norm of the Management-System in a combined audit (which means they have more than one proficiency/skill). It is calculated by using the following formula:

$$\frac{100((X1-1) + ((X2-1) + (X3-1) + (Xn-1))}{Z\ (Y-1)}$$

Whereby
X1,2,3…n represents the number of norms for which auditor « n » is qualified and determines the application field for combined audits. Y represents the number of norms of Management to be covered by combined audits. Z represents the number of auditors

Integration level:

Indikator	
One Management-system	60%
Requirements of the standard integrated in related processes	30%
Integrated policy and planning	5%
Integrated roles and responsibilities	5%
One Management review report	5%
One internal audit (regarding planning and audited sites)	5%

5.2.3 Standards for Multisite Audits (Basis Document IAF-MD1)

Each multisite situation have to be documented in the FO 303-MS.
Precondition for multisite sampling:

- A multi-site organization need not be a unique legal entity, but all sites shall have a legal or contractual link with the central office of the organization
- There is a common management system
- All sites are considered in the management review of the central office
- internal audits are supervised by the central office

The following calculation is based on an activity with low risk and less than 50 employees in each location The minimum amount of locations to be observed for each audit is calculated as follows:

First audit:

The importance of this control should correspond to the square root of the amount of remote locations ($y=\sqrt{x}$), rounded up to the next whole number.

Examination audit:

The importance of the annual random sample control should correspond to the square root of amount of remote locations, multiplied by a coefficient of 0,6 ($y=0,6\ \sqrt{x}$), rounded up to the next whole number

Recertification audit:

The importance of the random sample control should be the same as a first audit; however, the control can be reduced to a coefficient of 0,8 if the Management-System has proved to be effective during three years i.e. ($y=0,8\ \sqrt{x}$), rounded up to the next whole number.

5.3 Audit planning /Team composition

Based on the number of offered man days, the person in charge at the of the local contact unit propose an audit team, in agreement with QS Zürich AG. Likewise the auditor with the lead plans the audit autonomously and defines the team which is required for the audit.

The composition of the team results from the allocated IAF codes according to the personnel records of the individual employees. For each team at least one auditor must prove that he is IAF code registered for the corresponding client.

Criteria are:

- At least one professional should be appointed as auditor
- At least one professional or a combination of professionals should cover together the business activity of the client. Basically, this may be fulfilled by one auditor

In due time, the auditor with the lead function is to be designated as the contact person. This auditor is responsible for coordinating the mandate and, if necessary, the audit team.

Following criteria are decisive for the management of QS Zürich AG in order to integrate one or more qualified employees:

- The offered audit outlay/man day
- The client's wishes to have the audit done within a shorter or a longer time
- The amplitude of the sphere of authority covered by the mandate (see above)
- Purpose of the audit (conformity with a norm), coverage of the audit (expenditure of time)
- Amount of location – an audit team offers the possibility of sharing
- If it is a combined, integrated or collective audit
- Cost-efficiency
- Location/language/culture

Auditors who are still in apprenticeship (AOT, auditor on training) may be a part of the audit team, as long as an auditor is in charge of the evaluation. The auditor in charge of the evaluation must have the necessary competency and is fully responsible for the activities and the results of the auditors in apprenticeship.

Auditors on training, experts, translators, observers cannot be considered for the audit man-days. They are always under the direction of an auditor. Translators and observers may not unduly influence the audit.

Based on the information out of the application and if available former audit reports, a 3-year audit planning inclusive stage 1 audit if applicable have to be established.

In case of the client operates shifts, the planning have to respect shift changes and special situation in the shifts.

5.4 Formal application/certification contract

Before sending the certification offer to the client, following steps has to be performed:

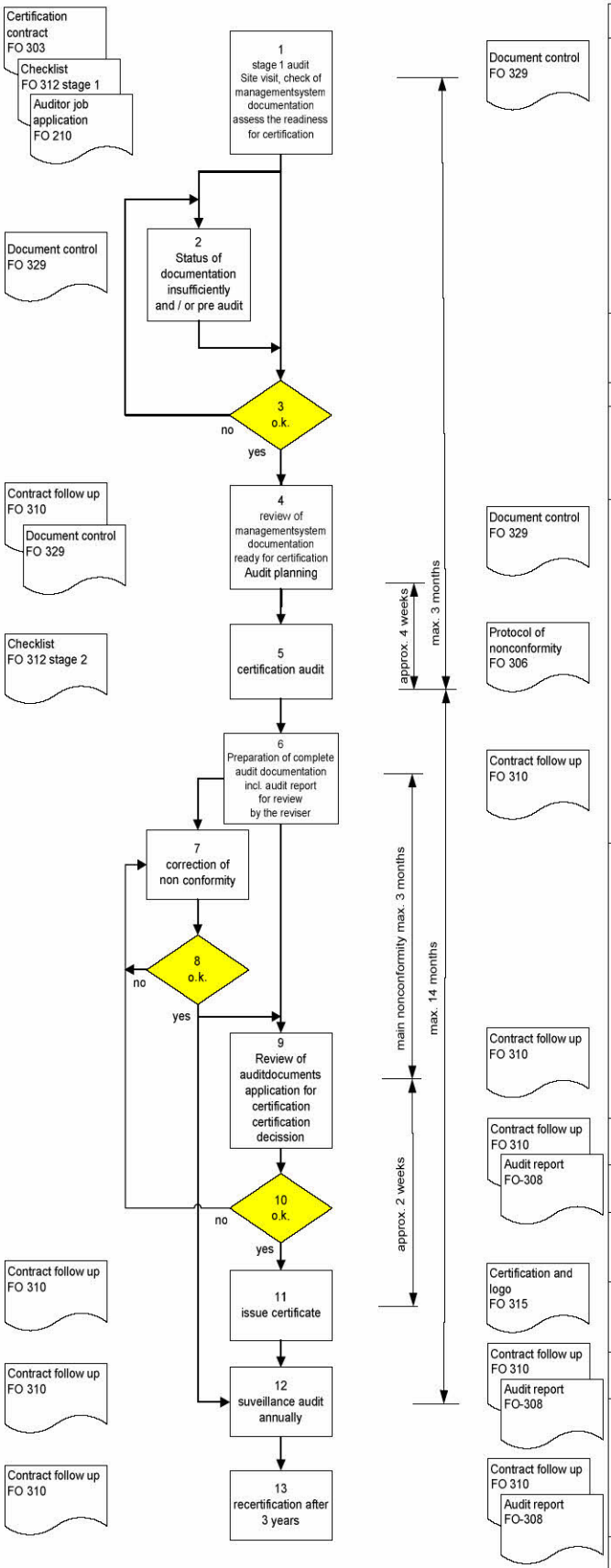
- Fill in the application review form FO303ff according the information, the client provides
- There has to be a proposal for a competent audit team for the whole certification cycle.
- QS Zürich AG has perform the application review and do the audit team confirmation.

With the relevant figures in the FO303ff, the certification contract can be issued and forwarded to the client.

Before starting any audit activities, the signed certification contract needs to be returned from the client.

The signed contract represents also the formal application for certification, together with the application review documents FO303ff.

5.5 certification



P = perform D = decide I = inform

Nr	P	D	I	description / rematks
1	MG BM DA			**Stage 1 Audit** The audit team is determined by the Management. Auditor job application is sent to the auditors. Assess the completeness of the documentation and the readiness for certification of the client. The results of the stage 1 audit is documented in FO 329. The client will be informed at the end of the stage 1 audit. The date of the stage 2 audit can be determined based on the result of the stage 1 audit. There may be a maximum of 3 months between the stage 1 and the stage 2 audit. If it is not possible to continue the procedure within the deadline, another stage 1 audit must be performed.
2	MG BM DA			If requested by the client or if there are major changes an additional document audit or pre-audit is conducted.
3		DA		Extensive non-conformities are corrected.
4	DA			Review of submitted client documentation, client is ready for certification. Audit planning; Creating the audit plan in consultation with the client, send audit plan to client
5	DA			**Stage 2 Audit** Perform certification audit based on the audit plan within 4 weeks after the stage 1 audit, at least 3 months after stage 1 audit, otherwise a repetition of stage 1 audit is required. The audit itself is planned and announced to the client approx.. 4 weeks before audit. The audit includes the examination of the entire system (the implementation of all standard elements in the operational sequences) in a time frame, which is adapted to the client's needs. Discussions with the employees about the practical implementation. Non-conformities are recorded (NCPs), explained to the client, deadlines for corrective actions are agreed, the NCPs are signed by the client. Clarification of different views is mandatory.
6	DA			Review of audit results by the auditor (audit team), write the audit report and send it with the application for the certification to the reviser if no mayor non-conformities are noted. The audit report must be handed in within a week. If the certification process was successful, the complete client file is handed over to the reviser. In case of non-conformities, the deadline for corrections is agreed with the client. The auditor (audit team) decides about any suspensory effect for the issue of the certificate. Non-conformities should be completed within approx. 3 months.
7	DA			Minor- or mayor non-conformities are corrected by the client within the agreed period of time
8		DA		The correction of Minor- or mayor non-conformities must be approved by the auditor
9	RV			The reviser examines the audit process, the audit documentation according to FO 310 and reviews the application for certification of the auditor (audit team).
10		RV M		Reviser confirm the recommendation of the auditor
11	MG			The manager QSZ creates, prints and signs the certificate (certification decision).
12	DA			Annually (every calendar year) with a grace period of max. three months a surveillance audit must be performed. The first surveillance audit after certification has to be performed within 12month. The procedure is identical to that of the certification audit by only selected standard elements are checked.
13	DA			After three years with a grace period of max. 3 months recertification must be performed. The further procedure is the same as for certification except that the stage 1 audit is omitted.
				BM = person in charge at the local contact unit

5.5.1 Consideration of the audit

- Examination and verification of the structure, policies, processes, procedures, records and related documents of the client relevant to the management system standard.
- At the beginning of every audit (certification, surveillance and recertification), the scope of the client needs to verified in terms of possible changes. Changes can affect the result of the application review, as result the auditing conditions like audit duration or required audit team qualification could be changed and the current audit needs to be adapted (e.g. duration/additional auditor or expert). If the predefined IAF code is affected and the audit team is no longer competent (as declared on the FO 210) or the number of effective personnel is significantly changed, the administration of QSZ needs to be informed immediately to prevent a potential invalid audit task.
- Determine that the processes and procedures are established, implemented and maintained effectively, to provide a basis for confidence in the client's management system.
- The obligations of the client, the appropriate law, the concerning activity and the products are essential part of the criteria's of the performance. For the processing of the mandate the parties of the auditors has to provide clearness if and how far there are (special) criteria for the activities of the survey. The process of clarification will be done with the client. If there are special rules and standards they will be documented.
- For the verification of the professional technology and the special elements of the standard it is possible, to use a specific list of questions for ISO 9001 or similar notes for the process of the audit.
- The activity of the client which is in the certification process is written down in the audit documents. If the client has done a self-assessment it is possible to verify this by a control sample. A generally limitation of control samples and a selection of terms of main focus is not possible.
- During the audit process the value of the monitoring is very important, for evaluate if the standards do exist, if the client has got competent manpower, and at least, to prove, if they are work as it is written in the process documents.
- At the end of audit process the auditor compiles a draft of the audit report with all information and non-conformities on a statement regarding of the status of the certification system. During the audit and at the closing meeting the auditor has to communicate his findings to the client. If there is a team of auditors they have to verify the report of the audit, put it in veritably form in accordance of the professional content and they give recommendation for the certification.
- Immediately after the audit the auditor is collecting all information and is sending his audit report and his records to the person in charge at the local contact unit.

5.6 Evaluation of the quality relevant activities in the organisation

During the entire audit process the audit team has to report all non-conformity (synonym for failure, deviations, statements).Non-conformities have to classify in mayor non-conformity (main deviations) or in minor non-conformity (deviations).

non-conformities have to be reported in the form "protocol of non-conformity", the non-conformity have to be executed and the conclusion of correction has to be evaluated. At the same time the non-conformity will be listed at the audit report.

Determined non-conformities in relation to the applicable standard and/or the instructions for procedure of the organisation are to be evaluated. As defaults are considered:

5.6.1 Mayor Non-Conformity

Requirements of whole sections of the standard or the own quality management documentation, which is basic of the audit, are not worked on, or the organisation does systematically not use one or several activities of the required standard or the quality management documentation.

- System non-conformity (missing implementation of a chapter in the documentation)
- Mandatory criteria are missing in the documentation.
- frequent formal non-conformity in a chapter (indirect reference to missed conversion respectively training)
- no concept for corrective measures
- Missing Management Review obligations (internal audit or equivalent evaluation, Management Review, hazard analysis)

In case of Major Non-Conformity no certification is possible, all correction have to be dealt with first. Maximum 90 calendar days' time for correction, otherwise a new audit or re-audit/examination on site.

Major non-conformity identified during a surveillance audit lead to the certification being suspended. The major non-conformities must be processed within three months. If these major non-conformities are not corrected in three months, the certificate will be withdrawn.

5.6.2 Minor Non-Conformity

Complete agreement of entire sections of the standard or the own quality management documentation was no determined, but on the basis of an objective proof the conformity of the product is not endangered

- formal non-conformity, clear regulation is implemented not in accordance with the defaults
- and so on

In case of Minor Non-Conformity certification is possible, corrective actions will be verified during the next surveillance audit.

5.6.3 Remarks

Remarks over additional possibilities attend to improve the management system.
The Remarks are directly noted in the report in the represented section under "additional information".
Remarks have no influence to the recommendation for certification.

5.7 Application for certification

The delivery of a certificate is only at the responsibility of the CEO from QS Zürich AG. The lead auditor reports to the management and applies for certification.

The relevant audit findings are described in the section above.
After the audit and receipt of the documents from the auditor the audit report/documents has to be proofed in a first step by a reviser (auditor in the field which was not part of the audit task, see also QMP 32.00) if the audit report is feasible and complete, to verify the performance of quality regarding the statement of the certification process (review evaluations: the report is sufficient with respect to the certification requirements and the scope for certification, for any major non-conformities, it has reviewed, accepted and verified the correction and corrective actions and for any minor nonconformities it has reviewed and accepted the client's plan for correction and corrective action.). Main criteria's for the audit such as implemented specific competence, generate of the essential problems of the client and the plausibility of the results. The reviser has to evaluate the quality and activities of the audit process for the certification and he has the possibility to get more information to form an opinion.
Afterwards all the documents from the audit have to be collected in electronic data or in hardcopy and it has to be a filing at QS Zürich AG. The organisation gets an copy of the audit report. If there is a re-audit or a re-examination necessary, the auditor has to control the deadline of the processing and the measures consider for further processing have to be proceed.

If there are still risks for the certification or reservations, he has to explain these to the CEO of QS Zürich AG. If the recommendations from the auditor is without any reservations by the reviser, he will agree with the recommendations. The reviser has to fill in an reviser-report which he has to send to QS Zürich AG.
The reviser-report has to be evaluated from QS Zürich AG and can be proceeded after case by case. The certification decision is taken by the CEO of QS Zürich AG according the rules of non-conformities, the recommendation of the lead auditor, the reviser and in special cases if there is other information available. With positive certification decision, the certificate can be issued, the validity starts with the date of the certification decision.
If the recommendation of the auditor was negative, QS Zürich AG will not issue the certificate, there are no further steps necessary. In case QS Zürich AG do not issue a certificate against the recommendation of the auditor, the client will be informed including the reasons.

If the implementation of corrections and corrective measures of any mayor non-conformity is not completed within 6 months after the last day of stage 2 audit, the certification body must carry out a new stage 2 audit before the recommendation for certification.

5.7.1.1.1 Handling of non-conformities

Exposed non-conformities are handled by the auditor. The auditor evaluates the analysis of the causes and the suggested corrective action based on the proofs. He decides if the proofs are sufficient. He can recommend further steps if necessary. The effectiveness of the corrective action is examined upon the next audit.

5.8 Hand over of the certificate

After the positive decision by QS Zürich AG, the certificate can be handed over to the client. The procedure of the handing over act shall be mutually agreed between the auditor and the client.
The client gets his certificate in accordance to the certificate order (certain mask of certificate), a trademarked certification brand and a covering letter, which tells him, how to handle his brand (Logo). At the mark of certification the client gets an certification document which is registered at QS Zürich AG.

5.9 Surveillance audits

The number of surveillance audits is an element of the contract with the client. It is once a calendar-year. The date of the certification audit is the relevant date for all following audits, there has to be a reason for to give time of +/- 3 months within the same calendar year. The first surveillance audit after first certification have to take place in the duration of 12 month after the first certification date. If the Surveillance audit cannot take place in time, there is the risk of a withdrawal.
Normally at the end of the closing meeting the auditor makes an appointment for the next audit.

Surveillance audits shall be performed, whenever possible, by auditors which were already part of the audit team of the certification audit, considering the requirements for a competent audit team. Otherwise a new auditor appointment has to be confirmed by QS Zürich AG.

The auditor is obliged to review the compliance of the duties of the former audits.

The auditor is obliged, in the course of the audit, to adopt non-conformities from the last audit and to take up once again the process and the sustainability of measures to review. Provided instructions have been recorded in the audit report, the processing has to be verified.

During the surveillance audits it has to be evaluated, if the internal audits have been implemented, the management review was performed and documented, all modifications of the organisation or of the management system and if the effectiveness of the management system is given.

It is the same procedure for reports like a first certification.

In case of surveillance with non-conformities the same terms are applied as said above.

5.10 Recertification

If there exists a certification contract with QS Zürich AG and the certificate expires within a time of 3 month it is possible to do a recertification. After a time of 6 month of expiration, it is to handle like a new certification.

Recertification are subject to a new contract with the client. The application review is analogue to the one for certification.

The process is analogue as at the first certification. Stage 1 at the audit is only necessary in case of major changes on client site, a documentation control have to be done at least as comparison with the last checked version. The previous audit report, planning and experiences with the client has to be taken in account for planning and proceed the re-certification audit. If there are non-conformities at the process at the recertification's it has to be the same procedures as at a first certification.

The audit-team can be the same as at the first certification as long the impartiality in not endangered.

After successful re-certification decision, the certificate can be issued. If the decision was taken before expiration of the previous certificate, the new certificate will be valid from the first day after the expiration day of the previous certificate for 3 years. If the decision was taken after expiration of the previous certificate, the validity starts with the date of the re-certification decision and ends 3 years after the expiration of the previous certificate.

The re-certification decision is not possible after 6 month after expiration of the previous certificate, a first certification have to be proceeded, there will be a new certificate number and a new "first certification date"

5.11 Transfer (according IAF MD 2)

If a client want to change the certification body to us, there is the need to collect the previous certificate and audit reports for the application.

- The certificate has to be valid and accredited for this scope (MLA member of IAF/EA level 3, 4 or 5, see www.iaf.nu "members")
- The 3-year audit planning is based on the information (reports) of the previous audits. All audit reports back to the last (re)certification needs to be available and have to be part of the documentation before issue a certificate – reports are either received from the previous certification body or the client.
- The application review is handled with the same forms as a regular certification, including the reason for transfer.
- QSZ only provide transfer certification after a transfer onsite-audit.

The general procedure is like the re-certification procedure as described above.

5.12 Special Audits

Special audits can be planned, if there is an application for expanding the scope (can also be done during surveillance audit) or for short-notice or unannounced audits (investigate complaints, or in response to changes, or as follow up on suspended clients if appropriate). In case of unannounced audits, there is additional care necessary in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members

The general procedure is like the audit procedure as described above.

5.13 Confidentiality

The tie of confidentiality is regulated by the General Conditions.

6 ADMINISTRATIVE ATTENDANCE AT THE CERTIFICATION PROCEDURE

6.1 Personal

The selection, employment and the sequential qualification of the personnel as well as the production and the maintenance of the accessory documented proofs are regulated (see QMP 20.10)

The auditors have to fulfil the standard qualifications for QS Zürich AG auditors. The professional characteristics of each auditor is written.
The range of special qualification and employment of the auditors must fulfil the supplemented points specified for ISO 9001:

- The ability to judge and to value decisions like a entrepreneurial management.
- Judgement of documents and evidence of the criteria's of the size and the activity from the organisation.
- Knowledge and ability to judge and to value the completed activity and under consideration of the duty for the organisation.

At least once a year QS Zürich AG has to check up on all active auditors at their practical operations, their profile at their practical operations, their further professional training and to examine and to keep record of the qualifications of them. Furthermore, once a year all active auditors have to be evaluated for their profession from the another auditor or the CEO from QS Zürich AG - and make the profile of the employment topical.

Generally it is not allowed for an auditor to give consultant performance within 3 years for a supervise mandate (see definition of "consultation" at ISO 17021). In the respect of this, all members of the top management have to consider to avoid and to recognize conflicts of interests with the client.
It is written in the contract with every involved person that they have to point out and to avoid conflicts of interests with the client. To exclude prophylactic any kind of conflict interests between client and auditor, the auditor who has got the first contact meeting and knows about the situation of the organisation declares an audit leader and if it is necessary other auditors.

6.2 Objection proceed

In case of discrepancies between client and the certificating body the client has the right to submit objection to the revision of QS Zürich AG. The processing of the objection is described in the management handbook of QS Zürich AG.

6.3 Clients duty

The work with the client is including watch out for the conditions of the contract, also to arrange the next appointment with the client.

During the co-operation with the client, mainly during audits, the auditor has to examine, if the contract conditions have extent changed (Changes of the relevant standard, requirements of the introduced system, size of organisation, location, and so on). The client is informed by the auditor or QS Zürich AG, if it is necessary to customize the certification contract by the corresponding organisation.

The client has to be visited in intervals as regards through a member of the management from QS Zürich AG or a delegated person to get feedback of the perception regarding the performance of the steering quality from QS Zürich AG. The conclusion should be recorded for further client care and for the reviews.

6.4 System of registration

All documents have to be a number consider the system:

- **Order/Mandate**

QS Zürich AG does identify general every mandate on the basis of a contract. There is only one number for each contract and this contract number accompanied all documents and business transactions from the mandate.
Example audit report: V-yy-xxx
yy = year, xxx = consecutively number
Alternatively the certification number can be used.

- **Certificate**

We do identify each certificate with the individual number. Multilingual versions of a certificate have all the same number, so far as certification contract has no withdrawal or restitution, the client is keeping the certificate number also at a recertification.
Example: certification number xxxx
xxxx =consecutively number, begin at 0001

6.5 Safekeeping/filing

For each client during the continuance of certification a client dossier is provided and maintained with all current documents electronic data or hardcopy.

After turn out of the contract for the certification as after the expiry date of the certificate the client dossier has to be reduced and file with the meaningful statements. The period of safekeeping for this documents is defined in the control of documents.

6.6 Issue, maintenance and withdrawal of certificates

6.6.1 Issue

The issue of certificates after a passed certification audit or recertification audit is defined (see chapter 4).

6.6.2 Maintenance

Based on the results from the surveillance audit, the auditor himself recommend about the maintenance of the certificate. Decision criteria are the fulfilment of the requirements of the standards and the evidence of the applied management system. He gives his finding and recommendation to QS Zürich AG. If there is no non-conformities QS Zürich AG accepts the recommendation without further assessment. In case of mayor non-conformities, QS Zürich AG takes a decision for the survival of the certificate and they have to contact the client for measures und surveillance.

6.6.3 Suspension/Withdrawal of certification

If a certificate expires without a recertification, there is no specific decision to take, the expired certificate is listed in the database of QS Zürich AG as expired (invalid).

It can be a reason for a suspension/withdrawal of a certification, when the date for an audit which is more than 3 month overdue or could not proceeded in each calendar year without any explanatory statement. The client has to be informed of the likelihood of the suspension/withdrawal of his certificate. The client can be granted a maximum period of one month to eliminate the shortcomings. Did not follow an audit during the period of a month, the decision of the suspension of the certificate is sure, there is no further notice to the client and immediately.

1. In case, the surveillance audit is postponed but performed (e.g. due to financial or personnel reason), the certificate is suspended (after 3 month of planned audit time or at the end of the calendar year) until the surveillance audit is performed (documented in the database of QS Zürich AG as invalid certificate).
2. In case, the client refuse to perform the audit, the client receive a written notice about the cancelation of the certification contract, the decision of the client is documented in the database of QS Zürich AG and the certificate is listed as invalid.

If there are mayor non-conformities at the surveillance audit the recommendation of the auditor is the suspension of the certificate. He gives his finding and recommendation to QS. The definitively decision of a suspension is at the QS Zürich AG in clarification with a reviser. The decision of the suspension of the certificate is taken and the client will receive the audit report with the mentioned max. three month time to eliminate the shortcomings. The major nonconformity can be administratively closed by the auditor either by document study or during a special audit, decided case by case. If the major nonconformity cannot be closed during the period, the decision of the withdrawal of the certificate is taken (suspension/withdrawal is documented in the audit documentation and is documented in the database of QS Zürich AG, the certificate is listed as invalid.).

The improper use of the certificates which are issued, QS Zürich AG will to proof the situation and makes his decision for the further procedure. The client will receive a warning, pointing out the irregularities. He is given a short time to arrange the corrections. After this time the status has to be verified. If there is a negative finding,

the decision for suspension/withdrawal of the certificate is valid straight away without a notice to the client which is documented in the database of QS Zürich AG, the certificate is listed as invalid.
In case of other complaint handling about a specific certified client, a suspension/withdrawal can be decided. This is documented on the internal form for complaint handling, the certificate is listed in the database of QS Zürich AG as invalid.

After withdrawal of the certificate it is possible in approval with the client to start a complete new certification process. If there is a surveillance at the time of beginning for the new certification process, the new contract will start with a recertification, and if there is a recertification on the beginning of the new certification process it has to start a new certification.

Generally the client has got the possibility to stop the certification process. The conditions therefore are at the contract of the certification procedure and at the contract terms and conditions.

6.6.4 Modifications on certificates

The client has to show up all substantial modifications to QS Zürich AG. This are all declarations, which are recorded at the performance of the certification.
For suchlike modifications in a first step it has to be verified, if the certification is still valid or if it is necessarily to start a new certification procedure for the certificate for all or various parts of the former certification.

7 APPLICABLE DOCUMENTS

QMV 20.10	Personal process
FO 102-d-e	Overview of documents