



Certification Regulation

1. Presentation of ProCert

ProCert is accredited by the Swiss Accreditation Service (SAS) as a certification body for:

- ISO 9001 quality management systems
- HACCP based FSMS (Food Safety Management Systems): ISO 22000, BRC, IFS
- Environmental management systems in accordance with ISO 14001
- SPEQs + QuaThéDA+ OFAS AI 2000 criteria
- EduQua + QSC
- OHSAS 18001

ProCert is a limited company totally independent of any group or advisory body. Thanks to its status and position at the Y-Parc (Parc Scientifique et technologique d'Yverdon-les-Bains), ProCert offers you the assurance of complete neutrality and independence as well as pragmatism, added value and a very high level of competence.

Thanks to IAF multinational agreements, a ProCert certification assures international recognition.

2. Certification Method

2.1 Certification procedure

The certification procedure applied by ProCert can be found on the ProCert sheet N°3. This is an integral part of the present regulation. For ISO 14001 certifications ProCert sheets N°6 (Procedure and scope of audit) and N°7 (Requirements for certification) apply in addition.

2.2 Certification contract

A certification contract is drawn up for each mandate assigned to ProCert. The present regulation forms an integral part of the contract. The duration of validity is noted in the contract. The proposed team of auditors is mentioned in the contract. The (future) holder of the contract is free to object to an auditor (or expert) without having to give motive or notice.

3. Certificate validity

The certificate is valid for 3 years, provided that the following conditions are complied with:

- a) The certificate holder must ensure the maintenance of a management system (MS) following the applicable standard (in particular, this implies the adaptation of the MS to a new version of the standard within the time limit given by the concerned parties),
- b) The holder must inform ProCert of any significant changes made to its activities, organization, management or MS,
- c) The holder must keep records of any complaints with regard to its MS, as well as the solutions,
- d) The MS will undergo an annual audit by ProCert, which is established by the lead designated auditor,

- e) The non-conformities found must be corrected within the imparted time limit,
- f) The holder is obliged to give ProCert auditors access to all its areas of business, associates, records and customers. This applies to the handicapped for OFAS/AI 2000.

In case of non-compliance to the conditions mentioned above, of cancellation of the contract, or of abuse of the certificate or ProCert logo, the holder risks withdrawal of the certificate (subject to publication).

In case of non-compliance to time limits imposed for correcting notified non-conformities or important changes in the organization's activities, the organization and/or management, the certificate may be temporarily suspended. The terms and conditions of suspension are given in writing.

4. Confidentiality

ProCert treats all information on the holder to which it has access, with complete confidentiality.

5. Impartiality

In order to guarantee its impartiality, ProCert does not provide any consulting services on MS.

6. Appeals

Appeals against decisions made by ProCert should be sent in writing to the concerned ProCert director who will then examine the subject of appeal with the lead auditor and technical auditors, and decide what measures should be taken and inform the plaintiff. In the case of disagreement, the plaintiff may appeal to the ProCert surveillance board which can then decide as a last resort.

7. Publication

The list of organizations certified by ProCert is published on the internet. The holder is assumed not to be opposed to this publication.

8. Use of ProCert certificate and logo

The holder is authorized to use the ProCert certification logo on its letterheads or advertising material in accordance with the following conditions (see IAF directives noted below):

- a) The logo is to be used only within the scope of the certification,
- b) The logo is not to be used on any product or packaging (in case of doubt, the holder should consult ProCert),
- c) The logo graphics may not be modified in any way.
- d) Publications for certification should not be deceitful, should not compromise the trust that public has in certification and should be adapted if the certified scope is reduced.

Any non-compliance of these conditions, as well as any abuse of the certification, may lead to the withdrawal of the certificate. The right to use the logo expires as

from the withdrawal or the non-renewal of the certificate (a maximum time limit of 3 months is allowed for documents already printed).

9. Complaints

The holder is required to keep a copy of any complaint or appeal concerning the certified system. These records must be made available to ProCert in its monitoring activities.

10. Records of documents

Documents relating to a certification are kept for a period of 5 years after the expiry of the contract.

11. Rates- Time spent

ProCert's rates are fixed as units of time. The time spent on certification activities is calculated according to the IAF directives concerning the application of the ISO 17021 or EA7-01* guide (see table below).

For multi-site certifications, the estimation of the time necessary is made in conformance with annex 3 of the above mentioned IAF or EA directives - or with the requirements of ISO TS 22003 for an ISO 22000 certification.

For taking over a certification awarded by another certification body, annex 4 of the same directives IAF or EA is applicable.

12. Repeat audits

The lead auditor or the ProCert Certification Commission can decide on the necessity to repeat fully or partially an audit in the following cases:

- a) excessive number &/or nature of the non-conformities,
- b) stop an audit in case of serious gaps,
- c) interval of more than 6 months between stages 1 & 2 of a certification audit
- d) interval of more than 6 months between certification expiry and completion of non-conformities allowing proposing recertification.

This applies to all types of audit: certification stage 1 or 2, surveillance or recertification.

13. Law and place of legal proceedings

Swiss law is applicable. The place of any legal proceedings is decided by ProCert SA.

Yverdon, 17 August 2013

Dr D. Blanc, ProCert SA

Annexes:

- ProCert N° 3 - Certification procedure
- ProCert N° 6 - Method and scope of audit
- ProCert N° 7 - Certification requirements
- ProCert N° 17 - ISO 9001: 2000 requirements

¹ only for ISO 14001 certifications

² applicable to ISO 9001 certifications

Required number of days for certification of a quality management system (QMS)

No. employees (individuals)	Certification (auditor days, +/- 20% according to justification)	On site (in % certification days)	Monitoring (in % certification days)	Renewal (in % certification days)
1 - 5	1.5	80 %	35 %	65 %
6 - 10	2	80 %	35 %	65 %
11 - 25	3	80 %	35 %	65 %
26 - 45	4	80 %	35 %	65 %
46 - 65	5	80 %	35 %	65 %
66 - 85	6	80 %	35 %	65 %
86 - 125	7	80 %	35 %	65 %
126 - 175	8	80 %	35 %	65 %
176 - 275	9	80 %	35 %	65 %
276 - 425	10	80 %	35 %	65 %
426 - 625	11	80 %	35 %	65 %

Note:

ISO 9001:

- the number of IAF or EA days may be modified \pm 20%, with justification, on the grounds of the following criteria:
 - ✓ type of activity (particularly the absence of a concept),
 - ✓ production line,
 - ✓ variety/uniformity of associates' activities,
 - ✓ manpower above or below category limits,
 - ✓ state of maturity of the system and information from internal audits,
 - ✓ whether a stable system or a developing one,
- the number of associates are not counted as full-time equivalents ; each individual counts,
- travel time is not included in the number of days.

ISO 22000:

- the time necessary is determined by referring to annex B of ISO TS 22003.

ISO 14001:

- the number of days depends (cf table below extracted from the annex B of the guide IAF MD 5*) on the "complexity"- ie. the number,

nature & gravity of the potential environmental impacts. Complexity is defined using table 2 in annex B of the guide IAF MD 5*.

Required number of days for certifying an environmental management system (EMS)

No employees	Increased complexity	Average complexity	Reduced complexity	Limited complexity
1-5	3	2.5	2.5	2.5
6-10	3.5	3	3	3
11-25	4.5	3.5	3	3
26-45	5.5	4.5	3.5	3
46-65	7	5.5	4	3

- the number of days for certification (stages 1 + 2) is established according to the table above (of which >80% on the site).
- For surveillance & recertification, the same ratios apply as for a QMS,

OFAS-AI 2000 / QuaThéDA:

- the time necessary is evaluated on the basis of the IAF directives for ISO 9001. A reduction of 10 - 20% is admissible (except in the case of combination with ISO 9001).

SPEQs / Social standard / CertEMS:

- the time necessary is evaluated on the basis of the IAF directives for ISO 9001, increased by 10% for specific requirements.

OHSAS 18001:

For OHSAS only, see ISO 9001. For a combined certificate, 0.5 day is added for up to 25 employees, 1 day for up to 125 employees and 2 days for more than 125 employees.

QSC:

- According to QSC protocol.

Combined Audits:

- Decrease of 20% of the total time required for the concerned standards .

* Available under « Publication » on the site:

<http://www.iaf.nu/>