



# **RULES OF MANAGEMENT SYSTEM CERTIFICATION**

StandCert

	<b>RULES OF MANAGEMENT SYSTEM CERTIFICATION</b>	<b>SC-UP-20</b>
	<b>Edition: 2024-01-27</b>	<b>Page: 2/21</b>

## CONTENT

1	Objective.....	4
2	Application .....	4
3	Terms and definitions .....	4
4	Information about StandCert d.o.o. Belgrade .....	6
	4.1 General information.....	6
	4.2 Management systems certified/audited by StandCert.....	6
	4.3 Internal organization.....	7
	4.4 Human resources .....	7
	4.5 Management system .....	7
	4.6 Accreditation .....	7
	4.7 Business principles .....	7
5	Legal and contractual issues .....	8
	5.1 Legal responsibility .....	8
	5.2 Certification contract.....	8
	5.3 Responsibility for making certification decisions .....	8
6	Impartiality management.....	8
7	Legal responsibility and financing.....	8
8	Information requirements .....	9
	8.1 Information for the public .....	9
	8.2 Certification requirements .....	9
	8.3 Certificate (certification document).....	9
	8.4 Reference to certification and use of certification marks .....	9
	8.5 Confidentiality .....	10
	8.6 Exchange of information between StandCert and the client.....	10
	8.6.1 Obligations of StandCert .....	10
	8.6.2 Obligations of the client .....	11
9	Activities before certification .....	11
	9.1 Application for certification .....	11
	9.2 Application review .....	12

	<b>RULES OF MANAGEMENT SYSTEM CERTIFICATION</b>	<b>SC-UP-20</b>
	<b>Edition: 2024-01-27</b>	<b>Page: 3/21</b>

9.3	Development of Audit Program .....	12
9.4	Certification offer .....	13
9.5	Contracting .....	13
9.6	Appointment of audit team .....	13
10	Conducting initial certification .....	13
10.1	Performing Stage 1 .....	13
10.2	Performing Stage 2 .....	14
10.3	Dealing with nonconformities .....	15
10.4	Certification decision.....	16
10.5	Issuance of a certification document and certification mark .....	16
11	Surveillance activities .....	16
12	Recertification.....	17
13	Special audits .....	18
13.1	Expansion of certification scope.....	19
13.2	Audits with the previous short notice (extraordinary surveillance).....	19
14	Suspension, withdrawal or reduction of certification scope .....	19
14.1	Suspension of certification .....	19
14.2	Withdrawal of certification.....	19
14.3	Reduction of certification scope .....	19
15	Other changes in certification .....	20
16	Transfer.....	20
17	Complaints and appeals .....	21
18	Other certification bodies.....	21

	<b>RULES OF MANAGEMENT SYSTEM CERTIFICATION</b>	<b>SC-UP-20</b>
	<b>Edition: 2024-01-27</b>	<b>Page: 4/21</b>

## 1 Objective

Rules of management system certification specify in more detail:

- the process of management system certification which is carried out by certification body StandCert Ltd.
- requirements to be met by the client of certification body
- rights and obligations of participants in the certification process

## 2 Application

These Rules are primarily intended for:

- StandCert personnel involved in the management system certification process,
- StandCert clients,
- StandCert certified clients.

## 3 Terms and definitions

For the purposes of these Rules, relevant definitions are given in the standards SRPS ISO 9000, SRPS ISO/IEC 17000, SRPS ISO 17021-1, SRPS ISO/TS 22003, SRPS ISO/TS 22003-1, SRPS ISO/IEC 27006, ISO 50003 and IAF MD9.

*Note: When undated standards and other documents are cited, the latest edition of the reference document applies.*

In particular, the following definitions are stated:

### **certification body**

a third-party conformity assessment body that conducts certification of management system

### **certification audit**

audit, performed for the purpose of client management system certification by organization performing the audit, independent from the client and the parties that rely on certification

*Note 1: The term "audit" is used in the definitions that follow for simplified reference to a third-party certification audit.*

*Note 2: Third-party certification audit includes initial, surveillance and recertification audits and may include special audits.*

*Note 3: Third-party certification audit is usually carried out by audit teams of those bodies that provide certification in conformity with the requirements of management system standards.*

*Note 4: Joint audit is the one in which two or more audit organizations work together to audit a single client.*

*Note 5: Combined audit is the one in which the client is audited at the same time according to the requirements of two or more management system standards.*

*Note 6: Integrated audit is the one in which a client integrated the application of two or more management system standards into a single management system and is audited against a number of standards.*

### **client**

organization whose management system is audited for certification purposes

	<b>RULES OF MANAGEMENT SYSTEM CERTIFICATION</b>	<b>SC-UP-20</b>
	<b>Edition: 2024-01-27</b>	<b>Page: 5/21</b>

**certified client**

organization whose management system is certified

**scope of certification**

activities for which certification is requested or granted

**nonconformity**

unfulfillment of requirements

**major nonconformity**

nonconformity that affects the ability of the management system to achieve expected results

*Note: nonconformities can be classified as major in the following circumstances: when there is a significant suspicion if an effective process management has been applied, or if products or services will meet specified requirements; a certain number of minor nonconformities associated with the same request or issue, that could indicate a system error, and thus make a major nonconformity.*

**mala neusaglašenost**

neusaglašenost koja ne utiče na sposobnost sistema menadžmenta da ostvari predviđene rezultate.

**comment**

report related to the activities or documents of the organization being audited which present a place for improvement

**preventive action**

measure to eliminate the causes of potential nonconformity or other potential undesirable situation

**corrective action**

measure to eliminate the causes of nonconformities and prevent their repetition

**correction**

measure for removing detected nonconformity

*Note: Correction can be made before corrective action, together with corrective action, or after*

**audit time**

time required to plan and perform a complete and effective audit of the client organization's management system

**expansion of certification scope**

expansion of scope of already awarded certification

**reduction of certification scope**

revoking part of the scope of already awarded certification

**suspension**

temporary suspension of management system certification for the entire scope of certification or its part

**withdrawal of certification**

revocation of certification

**certificate**

statement of conformity of management system with the reference standard

**certification mark**

mark issued by a certification body to the certified clients for their use and to demonstrate that they are certified

	<b>RULES OF MANAGEMENT SYSTEM CERTIFICATION</b>	<b>SC-UP-20</b>
	<b>Edition: 2024-01-27</b>	<b>Page: 6/21</b>

### **complaint**

request of the client or certified client to StandCert for consideration of any unfavorable certification decision related to the desired certification status

### **appeal**

expression of dissatisfaction, other than a complaint, by any person or organization to StandCert, regarding the activities of the certification body or certified client, to which a response is expected

## **4 Information about StandCert Ltd Belgrade**

### **4.1 General information**

Business Name: PRIVREDNO DRUŠTVO ZA SERTIFIKACIJU I NADZOR STANDCERT DOO BEOGRAD (SAVSKI VENAC)

Short business name: STANDCERT DOO BEOGRAD

Head office: Belgrade, Bulevar vojvode Mišića 39a, VI floor

E- mail: office@standcert.rs

Web site: www.standcert.rs

### **4.2 Management systems certified/audited by StandCert**

StandCert conducts audits and certification of management systems according to the following standards:

- SRPS ISO 9001 Quality Management Systems - Requirements
  - SRPS ISO 14001 Environmental Management Systems - Requirements with guidance for use
  - SRPS ISO 45001 Occupational Health and Safety Management Systems - Requirements with guidance for use
  - SRPS EN ISO 22000 Food Safety Management Systems - Requirements for any organization in the food chain
  - SRPS ISO/IEC 27001:2014 Information technology - Security techniques - Information Security Management Systems - Requirements
  - SRPS ISO/IEC 27001:2022 Information security, cybersecurity and privacy protection - Information Security Management Systems - Requirements
  - SRPS EN ISO 13485 Medical Devices - Quality Management Systems - Requirements for regulatory purposes
  - SRPS EN ISO 50001 Energy Management Systems - Requirements with guidance for use
  - SRPS ISO/IEC 20000-1 Information technology - Service management - Part 1: Service management system requirements
  - SRPS ISO 22301 Security and resilience - Business Continuity Management Systems - Requirements
- and others.

as well as HACCP audit according to CAC/RCP 1-1969 and CXC 1-1969.

*Note: When undated standards and other documents are cited, the latest edition of the reference document applies. In the period of transition/ migration, the previous edition of the document is also valid.*

	<b>RULES OF MANAGEMENT SYSTEM CERTIFICATION</b>	<b>SC-UP-20</b>
	<b>Edition: 2024-01-27</b>	<b>Page: 7/21</b>

### 4.3 Internal organization

The internal organization of StandCert is determined by the Rulebook on internal organization and systematization of jobs, which is adopted by the StandCert members.

### 4.4 Human resources

StandCert has at its disposal a sufficient number of competent personnel to properly perform the tasks within its competence. Human resources consist of full-time employees, externally engaged auditors and technical experts. The duties, responsibilities and authorities of all StandCert personnel are set out in internal documents.

### 4.5 Management system

The StandCert management system is based on the requirements of the standard SRPS ISO/IEC 17021-1, the corresponding documents from Accreditation Body of Serbia and the binding EA/IAF documents.

### 4.6 Accreditation

Its competence for performing certification of management system StandCert confirm through accreditation process with the Accreditation Body of Serbia. StandCert Ltd was first accredited in October 2009., accreditation number 08-005.

Information on management systems for which StandCert Ltd is accredited as well as the detailed scope of accreditation can be found on the official StandCert website , as well as on the Accreditation Body of Serbia website.

### 4.7 Business principles

StandCert conduct the certification process in a way that ensures a high degree of public trust and belief that it is performed impartially and competently. The parties that are interested in certification are:

- Our clients
- Government bodies
- Non-governmental organizations
- Consumers and other members of the public

The principles that StandCert adheres to are:

- Impartiality
- Competence
- Responsibility
- Openness
- Confidentiality
- Responding to complaints
- Risk-based approach

	<b>RULES OF MANAGEMENT SYSTEM CERTIFICATION</b>	<b>SC-UP-20</b>
	<b>Edition: 2024-01-27</b>	<b>Page: 8/21</b>

## **5 Legal and contractual issues**

### **5.1 Legal responsibility**

StandCert Ltd is a legal entity registered as a limited liability company in Serbian Business Registers Agency (registration number 20480211) and is legally responsible for all certification activities.

### **5.2 Certification contract**

StandCert performs certification services based on the Contract with each client to whom certification/ audit activities are provided. It is concluded between StandCert director and the authorized person of the organization. The Contract determines all essential elements of the certification and the Rules of management system certification become binding for the signatories of the Contract.

When there are several locations of the client, then the Contract covers all locations that are part of certification scope.

### **5.3 Responsibility for making certification decisions**

StandCert is responsible and competent for decisions related to certification, including awarding, refusing, maintaining, renewing, expanding or reducing the scope of certification, suspending or returning after suspension, and withdrawing of certification.

## **6 Impartiality management**

StandCert conduct certification activities impartially in accordance with impartiality policies, manage conflicts of interest and ensure objectivity of its activities. Commission for impartiality has been appointed, to ensure that relevant interested parties are involved in the impartiality threat/ risk assessment process and to consult and advise on issues affecting impartiality arising from StandCert's management system certification activities. Impartiality threats as well as impartiality management methods have been identified and documented.

StandCert, through a Statement of Impartiality, describe how it ensure a high degree of public trust and belief that the certification process is conducted impartially. The Statement is available on the official StandCert website.

## **7 Legal responsibility and financing**

StandCert has assessed the risk, which arises from the certification activity and has appropriate arrangements (Insurance Policy) to cover the legal responsibilities arising from its business, in each of the activities, as well as the geographical areas in which it carries out its operational activities.

Based on financial statements, StandCert evaluates its finances and sources of income. Charging for certification services ensure financial stability so that commercial, financial or other pressures do not undermine impartiality in the certification process. Commission for impartiality has an insight into everything.

StandCert management system certification prices are formed in accordance with the principle of covering direct costs related to certification (costs of hiring personnel involved in the certification



	<b>RULES OF MANAGEMENT SYSTEM CERTIFICATION</b>	<b>SC-UP-20</b>
	<b>Edition: 2024-01-27</b>	<b>Page: 9/21</b>

process and material costs) and costs of development of certification activities (training, equipment, etc.) and without making any profit. Prices are set in document *Pricelist of certification services*.

## 8 Information requirements

### 8.1 Information for the public

StandCert, in all geographic areas where it operates and through its website ([www.standcert.rs](http://www.standcert.rs)), makes publicly available informations that describes:

- a) audit processes;
- b) processes for awarding, refusing, maintaining, renewing, suspending or returning of certification, or expanding or reducing the scope of certification;
- c) types of management systems and certification schemes in which it operates;
- d) rules for using the certification body name and certification mark;
- e) processes for handling of requests for information, complaints and appeals;
- f) policy of impartiality.

StandCert has also made public information about:

- a) status of awarded certification;
- b) name, relevant normative document, scope and geographical location (city and country) for specific certified client.

Information on valid certifications are published in the Register of certified organizations, which is available on the website [www.standcert.rs](http://www.standcert.rs), with the following information: name and headquarters of the organization or part of the organization, relevant normative document, certificate number, certification scope and date until which the certification is valid.

The website also contains registers with information on suspended and withdrawn certifications.

### 8.2 Certification requirements

Requirements for obtaining and maintaining certification are set out in:

- Serbian standards which have taken over international, or European standards, which contain requirements for management systems;
- StandCert Rules for management system certification;
- documents of the client's management system, including legal and other requirements to which the client has committed.

### 8.3 Certificate (certification document)

The certificate is verification of compliance of management system with the reference standard. The standard certificate form contains all the information that is relevant for the awarded certification.

### 8.4 Reference to certification and use of certification marks

After the certification is awarded, StandCert gives the certified client a certification mark that he can use to indicate the status of the certification. It is obligation of the certified client to use the certification mark in accordance with the *Rules for the use of certification, certification mark and accreditation symbol-SC-UP-21*.

	<b>RULES OF MANAGEMENT SYSTEM CERTIFICATION</b>	<b>SC-UP-20</b>
	<b>Edition: 2024-01-27</b>	<b>Page: 10/21</b>

StandCert has established a procedure for control and taking measures, if there is an incorrect reference to the certification status or ambiguous use of the certificate, certification mark or accreditation symbol. In case of incorrect reference to certification and use of certification mark and accreditation symbol in violation of the *Rules for the use of certification, certification mark and accreditation symbol*, StandCert can take measures, which may include request for corrective actions, extraordinary surveillance audits, suspension or withdrawal of certification.

## 8.5 Confidentiality

StandCert regulate protection of confidential information obtained during certification activities through Contract concluded with the client. Confidentiality obligations are transferred to StandCert personnel (externally and internally) through contracts and statements.

Exceptions are information made publicly available by the client, information that StandCert is obliged to provide to the accreditation body during the audit for the purpose of accreditation, information about awarded, suspended or withdrawn certifications that are submitted to regulatory bodies based on requests arising from the law or from the request of the regulatory body, as well as information from the management system audit report according to the requirements of the standard SRPS EN ISO 13485, which are necessary for the regulator to accept the certification according to SRPS EN ISO 13485.

All information obtained in the certification process are used exclusively for the purposes of the certification process and they are not used for other purposes.

StandCert makes publicly available information on awarding, suspension and withdrawal of certification through the register on official website.

StandCert handles personal information obtained in the certification process in accordance with the applicable law governing the protection of personal information.

## 8.6 Exchange of information between StandCert and the client

### 8.6.1 Obligations of StandCert

StandCert is obliged to provide:

- a) that the personnel involved in the certification procedures are competent, independent and impartial;
- b) maintenance of confidentiality of information obtained in the certification process;
- c) timely information to certified clients of changes in their certification requirements and verification mechanisms that certified clients have complied with the amended requirements;
- d) timely verification that certified clients have complied with the amended certification requirements;
- e) publicly available information on certification activities and certification requirements including the rights and obligations of certified clients, reference to certification in communication of any kind and information on procedures for dealing with complaints and appeals;
- f) updated information on the status of issued certification.

	<b>RULES OF MANAGEMENT SYSTEM CERTIFICATION</b>	<b>SC-UP-20</b>
	<b>Edition: 2024-01-27</b>	<b>Page: 11/21</b>

### 8.6.2 Obligations of the client

The client is obliged to:

- a) comply with the certification requirements;
- b) provide all necessary arrangements for conducting audits, including the conditions for reviewing documentation and access to all activities, locations, records and personnel for the purposes of certification process and resolving complaints and appeals;
- c) inform StandCert, without delay, on changes that may affect the status of the awarded certification, which relate to:
  - ownership, legal and commercial aspects, organizational status, authorizations and organizational structure;
  - organization and management (eg. key, decision-making management or technical personnel);
  - contact addresses and websites;
  - scope of work within the certified management system;
  - major changes in the management system and process;
  - management system documentation;
  - specific for ISMS, notification of changes in the Statement of Applicability (SoA) is mandatory;
  - occurrence of serious incidents;
  - serious breach of legislation requiring the involvement of relevant regulatory bodies;
- d) refer to certification and use the certification mark in accordance with the *Rules for the use of certification, certification mark and accreditation symbol-SC-UP-21*;
- e) provide conditions for the presence of observers during the audit (eg. accreditation body assessor or auditor on training), where necessary;
- f) make payment of certification costs.

Multi-location clients for FSMS where StandCert conducts multi-location sampling are also required to:

- a) conduct an internal audit for each location within a period of one year prior to certification and, when applicable, must have the effectiveness of corrective actions available;
- b) after certification, they conduct annual internal audits that include all locations that are included in the scope of certification, with the effectiveness of corrective actions shown.

## 9 Activities before certification

### 9.1 Application for certification

The potential applicant for certification is informed about the certification process, awarding and maintenance of certification, the rights and obligations of StandCert and the certified client, resolving of complaints and appeals, prices and other relevant informations, through website [www.standcert.rs](http://www.standcert.rs), by correspondence or by direct contact with StandCert. Form-Application-Request for issuance of offer for the management system certification (hereinafter: Application) can be downloaded from the website or, at the request of the client, submitted by e-mail.

The applicant is obliged to fill in the Application attachments - specific information for each applied management system as well as the Application attachment in case of certification transfer. Attachments to the Application are delivered to the client by mail or by e-mail.

	<b>RULES OF MANAGEMENT SYSTEM CERTIFICATION</b>	<b>SC-UP-20</b>
	<b>Edition: 2024-01-27</b>	<b>Page: 12/21</b>

By submitting the completed Application form and the appropriate Application attachments, the client applies for certification.

## 9.2 Application review

StandCert verify each received Application from the standpoint of completeness, whether all the required information has been provided and whether there are any records that the applicant specified in the Application. In case some information/ records are missing, the applicant will be asked to supplement the Application. Incomplete Applications will not be further processed.

After completion of Application, it is reviewed by the competent StandCert personnel. During the review, the Application is reviewed for StandCert ability to carry out certification for the required scope of certification and to determine the following:

- a) that the information on the applicant client and its management system is sufficient to develop Audit Program;
- b) that any perceived differences of understanding between StandCert and the applicant's client have been eliminated;
- c) that StandCert is competent and capable of performing certification activity;
- d) that the required scope of certification, location(s) where the applicant organization carries out its operational activities, time required to complete audits and any other item affecting the certification activity (language, security conditions, threats to impartiality etc.) are taken into account.

If, during the review, it is determined that additional information is needed for an adequate Application review, StandCert will request additional information from the applicant.

In case the applicant does not submit the requested additional information within the prescribed time, it will be considered that it has withdrawn from the certification.

If Application review conclude that StandCert does not have the competence or capacity to perform certification according to Application requirements, the client is notified on rejection of Application, with a documented and clear explanation of the reasons. Otherwise, StandCert will approach the development of Audit Program.

The applicant has the right to appeal the decision to reject Application.

## 9.3 Development of Audit Program

StandCert prepares Audit Program for the full certification cycle (two-stage initial audit, surveillance audits in the first and second year and recertification audit in the third year prior to the expiration of certification).

Surveillance audits must be carried out at least once in a calendar year, except in the year of recertification. The date of the first surveillance audit after the initial certification must not be more than 12 months from the date of the certification decision. It may be necessary to adjust the frequency of surveillance audits to adapt to factors such as seasons or certification of a limited duration management system (eg. temporary construction site location).

	<b>RULES OF MANAGEMENT SYSTEM CERTIFICATION</b>	<b>SC-UP-20</b>
	<b>Edition: 2024-01-27</b>	<b>Page: 13/21</b>

#### **9.4 Certification offer**

Based on the conducted review, StandCert compiles an offer that is submitted to the client for consent. The client is obliged to declare in writing about the submitted offer.

If the client has objections to the proposed offer and if it is assessed that there are grounds for changing the offer in compliance with the StandCert management system documents and binding accreditation documents, StandCert will submit the changed offer to the client.

If it is assessed that it is not possible to react to the client's objections to submitted offer, StandCert will notify the client of the rejection of Application with an explanation. The client has the right to appeal if he is dissatisfied with StandCert's decision to reject Application.

If, even after the corrections was made, the client does not accept the offer, StandCert will make a decision to reject Application with an explanation. The client has the right to appeal if he is dissatisfied with StandCert decision to reject Application.

#### **9.5 Contracting**

After accepting the offer, StandCert and the client conclude a Contract which states rights and obligations of the contracting parties and other issues related to certification. The Contract must cover all locations according to the required scope of certification. The Contract is considered valid on the day of signing by both parties. In case the client does not sign it, StandCert will make a decision to terminate the certification process. The client has the right to appeal if he is dissatisfied with the StandCert decision to terminate the procedure.

The Contract can be realized through several Contracts that refer to each other or are otherwise connected. All changes/amendments to the existing Contract are regulated through annexes.

After signing of the Contract, the client is obliged to submit the management system documentation necessary for realization of the audit process, at the request of StandCert.

#### **9.6 Appointment of audit team**

StandCert appoints audit team that, in terms of composition (number of team members and competence), corresponds to the size of organization and the required scope of certification. Audit team consists of Audit team leader and an appropriate number of auditors and/or technical experts. StandCert notifies the client in a timely manner of the proposed audit team, to allow the client to comment on the appointment of specific team member. In case of a written objection to individual members, it is considered and if it is assessed that the objection is justified, a new audit team/ team leader/ team member is appointed. The appointment process is repeated until agreement is reached.

### **10 Conducting initial certification**

The initial certification audit is conducted in two stages: Stage 1 and Stage 2.

#### **10.1 Performing Stage 1**

Stage 1 of certification audit is performed in order to:

- a) review of documented information of the client's management system;
- b) evaluate specific conditions of client location and to discuss with client personnel to determine readiness for Stage 2;

	<b>RULES OF MANAGEMENT SYSTEM CERTIFICATION</b>	<b>SC-UP-20</b>
	<b>Edition: 2024-01-27</b>	<b>Page: 14/21</b>

- c) review the client's status and to understand the requirements of the standard, in particular regarding identification of key performance or significant aspects, processes, objectives and functioning of the management system;
- d) collect necessary information related to scope of the management system, including:
  - locations of the client;
  - processes and equipment used;
  - established levels of management (especially in the case of a client with multiple locations);
  - applicable requirements of laws and regulations;
- e) review the allocation of resources for Stage 2 audit and agreement with the client on the details of Stage 2 audit;
- f) plan Stage 2 audit based on understanding of the client's management system and work at various locations;
- g) evaluate whether internal audits and reviews by management are planned and performed, and whether the level of implementation of the management system is sufficient to ensure that the client is ready for Stage 2 audit.

Stage 1 is conducted by appointed audit team members.

Stage 1 audit includes review of submitted documentation at the client's location and/ or outside the client's location and/ or remotely using ITC, or audit at the client's location when it is a mandatory requirement for the Food Safety Management System and for the Quality Management System - Medical Devices, when there are medical devices with a higher risk in the scope of certification. In exceptional circumstances, for a Food Safety Management System, part of Stage 1 may be performed outside the client's location and there must be a fully justified reason for it. Exceptional circumstances may include very remote location, natural disaster, pandemic, short seasonal production and special situations.

Stage 1 audit is performed at the client's location when, during the review, it is determined that a review of documentation outside the client's location is not sufficient for the assessment of readiness for Stage 2.

The results of the Stage 1 audit are presented in report that identifies areas of concern that may qualify as Stage 2 nonconformities. The client should resolve the concerns and notify StandCert. In determining the interval between Stage 1 and Stage 2 audit, StandCert takes into account the client's needs to address the concerns identified during Stage 1 audit. The interval between the Stage 1 and Stage 2 audit cannot be longer than 3 months. If a longer interval is required, the Stage 1 audit should be repeated. If in the interval between Stage 1 and Stage 2 there are any significant changes that would affect the management system, StandCert must consider the need to repeat all or part of Stage 1. In the event that the results of Stage 1 may lead to delays or cancellations of Stage 2, StandCert notifies the client about this.

## **10.2 Performing Stage 2**

Stage 2 of the certification audit is performed in order to:

- a) determine conformity of the client's management system, or its parts, in relation to the audit criteria;



	<b>RULES OF MANAGEMENT SYSTEM CERTIFICATION</b>	<b>SC-UP-20</b>
	<b>Edition: 2024-01-27</b>	<b>Page: 15/21</b>

- b) determine the ability of the management system to ensure that the client meets the applicable requirements of laws, regulations and contracts;  
*Note: Certification audit of the management system is not an audit of compliance with the laws.*
- c) determine the effectiveness of the management system to ensure that the client can reasonably expect to achieve its specified objectives;
- d) identify areas for potential improvement of the management system, as applicable.

Stage 2 is carried out by appointed audit team. In case it is assessed in Stage 1 that it is necessary to make a correction of the already appointed team, StandCert approaches the reappointment of the team.

For Stage 2, audit plan is developed and the date for conducting the audit on location is agreed with the client. Audit on location is conducted in accordance with the StandCert management system documents for the audit on location and consists of an opening meeting, audit and a closing meeting. At the opening meeting, the client's representatives are provided with all relevant information regarding the audit process, including the obligation to maintain confidentiality. At the opening meeting, audit plan and the scope of certification are confirmed.

During the audit, the client is obliged to provide to audit team access to all relevant documents, access to all premises related to the activities for which certification is requested, as well as an interview with the personnel involved in the activities covered by audit.

At the closing meeting, audit team informs the client's representatives of the audit findings, including identified nonconformities (major or minor), if there are any, procedure for resolving the identified nonconformities and the proposal of audit team regarding the certification decision. Identified nonconformities are specified in the Nonconformity Report. The client must be allowed to ask questions or request clarifications regarding the findings of audit team.

If there is no understanding, or if no agreement is reached regarding the stated nonconformities, the team leader states that in the Report from the closing meeting. Complaints in case of disagreement with the audit findings or work of audit team can be addressed to StandCert.

### **10.3 Dealing with nonconformities**

In the event that nonconformities are identified during audit, the client is obliged to submit, within 7 days, analysis of the causes of nonconformities, proposal for correction/ corrective actions and deadlines for application of actions on Nonconformity Report form.

Audit team evaluate adequacy of the proposed actions and provide findings in the appropriate sections of the Nonconformity Report. If the team assesses that the proposed actions are not adequate, the client is obliged to submit a new proposed action. Assessment of adequacy of the new proposed actions is carried out by audit team.

For minor nonconformities, StandCert will implement accepted corrections/corrective actions in the next audit.

	<b>RULES OF MANAGEMENT SYSTEM CERTIFICATION</b>	<b>SC-UP-20</b>
	<b>Edition: 2024-01-27</b>	<b>Page: 16/21</b>

For major nonconformities, the client should submit documented evidence of elimination of nonconformities to StandCert within 5,5 months at the latest. Verification of the elimination of nonconformities by audit team can be carried out on the basis of the submitted evidence and/or by audit at the location of the client.

#### **10.4 Certification decision**

After the completion of audit and verification activities of the correction plan/ corrective actions in case of minor nonconformities or verification of the application of corrective actions (based on evidence or by audit on location) in case of major nonconformities, audit team make a proposal for making certification decision through Audit Report/ annex to the Report.

The decision on certification is made by a certification Commission composed of StandCert personnel who did not participate in the audit and has the competence for decision-making on certification.

Based on the audit Report/ annex to the audit Report, other audit documents and other relevant facts (complaints, appeals, legislation, financial service reports on settlement of financial obligations, information from the public obtained by monitoring the daily press, electronic media, reports from Serbian Business Registers Agency, reports from the National Bank, reports of inspection services), the certification Commission makes a decision on certification. If the Commission determines that the informations are not insufficient to make an appropriate decision, additional information will be requested from audit team or the client, which may include conducting an additional audit.

Decision of the certification Commission may be to confirm or modify the proposal of the team. In case the Commission changed the team's decision, it is obligatory to state the explanation.

The client has the right to appeal the decision on certification, which is unfavorable for the client. The procedure regarding complaints has been determined and it is available on the StandCert website [www.standcert.rs](http://www.standcert.rs).

#### **10.5 Issuance of a certification document and certification mark**

The client received one copy of the certificate in Serbian and English language. In the case of certification of several management systems, the certificate is awarded separately for each certified system.

Together with the certificate, the client is provided with a certification mark and rules for invoking to the certification and use of the mark.

A certified client is entered in the Register of certified clients available on the StandCert website [www.standcert.rs](http://www.standcert.rs).

### **11 Surveillance activities**

Surveillance activities must include audit on location as to whether a management system of a certified client meets specified requirements in relation to the standard to which the certification is awarded. Other surveillance activities may include:

- a) inquiry about aspects of certification that StandCert addresses to certified clients;



	<b>RULES OF MANAGEMENT SYSTEM CERTIFICATION</b>	<b>SC-UP-20</b>
	<b>Edition: 2024-01-27</b>	<b>Page: 17/21</b>

- a) review of each statement of the certified client regarding implementation of its operational activities (eg. promotional materials, website);
- b) requests to the certified client to provide documented information (on paper or through electronic media);
- c) other ways to monitor the performance of the certified client

Surveillance audits are carried out for:

- a) confirmation that the compliance and effectiveness of the management system as a whole has continued, and that its relevance and applicability to the scope of certification has continued;
- b) confirmation of the changes made to the management system as well as the method of recording these changes;
- c) determining the ways to use of mark/ or any other reference to certification;
- d) determining compliance of the client management system, or its parts, in relation to audit criteria;
- e) determining ability of the management system to ensure that client meets the applicable requirements of laws, regulations and contracts;
- f) determining effectiveness of the management system to ensure that the client can reasonably expect to achieve its specified objectives;
- g) identifying areas for potential improvement of the management system, as applicable.

It is not necessary to audit the whole system and, they are also planed with other surveillance activities so that StandCert can maintain confidence that the certified management system continues to fulfill requirements between recertification audits.

Surveillance audits are performed at least once a year. Date of the first surveillance audit after the initial certification must not be more than 12 months from the date of the certification decision.

If the certified client does not accept the surveillance audits within the period provided by certification maintenance program, Director of StandCert makes a decision to suspend certification. The surveillance period can be extended up to 6 months if the client submits an explanation which is accepted by StandCert.

Surveillance audit is conducted by audit team appointed by StandCert. The findings of the audit are given in the Audit Report. The proposal of audit team, given in the Audit Report, may be to:

- maintain certification if there are no nonconformities or, in case of minor nonconformities, when the Plan of corrections/ corrective actions is verified
- suspend certification for part or for all of the scope of certification in case of major nonconformities (duration of suspension is 6 months)

Based on the results of surveillance activities, StandCert makes appropriate certification decision.

## 12 Recertification

Aktivnosti resertifikacije započinju najmanje 45 dana pre isteka važeće sertifikacije dostavljanjem od strane sertifikovanog klijenta prijave za resertifikaciju sa pratećom dokumentacijom. Resertifikaciona provera se po pravilu sprovodi 1 mesec pre isteka važenja sertifikacije, čime se klijentu daje dovoljno vremena da otkloni eventualne neusaglašenosti, koje se mogu tokom resertifikacione provere utvrditi. Po pravilu resertifikaciona provera se realizuje kao faza 2 kod početne sertifikacije. Izuzetno se može realizovati i faza 1 (npr. proširenje predmeta i područja sertifikacije, migracija, tranzicija, na zahtev klijenta isl).

	<b>RULES OF MANAGEMENT SYSTEM CERTIFICATION</b>	<b>SC-UP-20</b>
	<b>Edition: 2024-01-27</b>	<b>Page: 18/21</b>

Depending on the degree of realization of the recertification activity and the validity period of the previous certification, the following cases differ:

In case of submitting a Application for recertification before the certification expires:

1. If the recertification activities and decision-making are completed by expiration of certification, conditions for the continuity of certification are provided, ie. for retention of certification for the next 3 years from expiration;
2. If recertification activities are started but not completed by the end of certification or recertification activities are completed and the decision on recertification is made within 6 months after the expiration of certification, retention of certification is ensured for the next 3 years, but without continuity in maintaining certification (termination). Termination of certification is indicated on the certificate. At the time of termination, the organization must follow the rules of reference for certification.

The date of issue of the certificate must be on the day of the recertification decision, and the expiration date must be based on the previous certification cycle. The number of the certificate does not change in relation to the number from the previous certification cycle.

3. If the recertification activities and decision making are not completed 6 months after the expiration of the certification, the certification is not retained and there is no continuity in the certification, and it is valid for 3 years from the day of making the new certification decision. The certificate is issued under a new number.

In case of submitting a Application for recertification after the certification expires:

There is no continuity in the duration of certification. It is necessary to perform again initial audit (Stage 1 and Stage 2). The new certification starts from the moment the decision is made and it is valid for three years. A certificate is issued under a new number.

Based on the Audit Report/annex of the Audit Report, other audit documents and other relevant facts (complaints, appeals, legislation, financial service reports on settlement of financial obligations, information from the public, obtained by monitoring the daily press, electronic media, reports from Serbian Business Registers Agency, reports of the National Bank, reports of inspection services) as well as the results of system review during the certification period, the certification Commission makes decision on recertification. If the Commission determines that the information is insufficient to make an appropriate decision, additional information will be requested from audit team or the client, which may include conducting an additional audit.

Based on the results of recertification audit and Audit Report of audit team, annex of the Audit Report as well as the results of system review during the certification period and complaints and appeals received from certification clients and other interested parties, financial service report on settlement of financial obligations, all information from public, obtained by monitoring the daily press, electronic media, reports from the Serbian Business Registers Agency, reports of the National Bank, reports of inspection services, etc. the certification Commission makes decision on recertification depending on the dynamics of recertification activities.

### **13 Special audits**

	<b>RULES OF MANAGEMENT SYSTEM CERTIFICATION</b>	<b>SC-UP-20</b>
	<b>Edition: 2024-01-27</b>	<b>Page: 19/21</b>

### 13.1 Expansion of certification scope

The client can apply for the extension of certification scope at any time during the validity of certification, by filling in Application for certification.

Audit for the purpose of expanding the scope can be realized together with the surveillance audit or recertification audit or through an independent procedure.

Extension of certification scope does not affect the validity of the certification.

### 13.2 Audits with the previous short notice (extraordinary surveillance)

These audits are performed by StandCert to investigate appeals, in response to changes, or as a continuation of activities on suspended certification.

The client is informed in writing about the audit that will be carried out. Special attention is paid to the appointment of audit team because the client has no right to object to the members of audit team.

## 14 Suspension, withdrawal or reduction of certification scope

### 14.1 Suspension of certification

StandCert suspend certification in the following cases:

- certified management system of the client has persistent or serious difficulties in meeting the certification requirements, including the requirements of management system effectiveness;
- certified client does not allow surveillances or audits for recertification to be performed with the required frequency;
- certified client voluntarily requests a suspension.

StandCert issues decision on the suspension of certification, and publishes that information on the Register of certified organizations. The certification suspension is issued with a term not longer than six months. During the suspension, the certification is temporarily invalid.

If the reasons for the suspension are not eliminated within the period set by StandCert, this will result in the withdrawal or reduction of the certification scope. If the causes are eliminated, decision is made to restore the certification.

### 14.2 Withdrawal of certification

StandCert withdraw certification in the following cases:

- if the reasons for the suspension are not eliminated within the period established by StandCert;
- in case of termination of work of the certified client;
- at the request of the client.

In case of withdrawal of certification, StandCert issues a decision to withdraw certification and the client is obliged to return all issued certificates and to terminate any reference to certification.

### 14.3 Reduction of certification scope

StandCert reduces certification scope in the following cases:

- if organization itself requests a reduction of certification scope;
- as a result of realized audits.

	<b>RULES OF MANAGEMENT SYSTEM CERTIFICATION</b>	<b>SC-UP-20</b>
	<b>Edition: 2024-01-27</b>	<b>Page: 20/21</b>

After reduction of certification scope, StandCert modify the certificate and update information in the Register of certified organizations.

The client is obliged to correct reference to awarded certification, taking into account reduction of certification scope.

The client has the right to appeal if he is dissatisfied with the decision to suspend, withdraw and reduce certification scope.

## 15 Other changes in certification

At any time in certification cycle, the client may request changes to awarded certification, due to changes in the reference standard, changes in edition of the standard, etc. The client is obliged to submit, with the request, an explanation regarding requested changes, which includes the impact on established management system. StandCert will decide on the method of verification of the required changes and activities to be carried out after the analysis of the submitted request, and the client will be notified about it.

## 16 Transfer

A client certified by another certification body can apply for a certification transfer with StandCert.

Transfer can be carried out if the following conditions are met:

- a) client has a certification that is within the scope of accreditation of the certification body that issued certification;
- b) certification body that issued the certificate is accredited for the scope within the MLA scope of accreditation body that issued the certification;
- c) StandCert is accredited for the scope of certification that is the subject of transfer;
- d) certification of the client is valid;
- e) reasons for the transfer provided by the client are acceptable;
- f) client has submitted a copy of a valid certificate;
- g) client has submitted copies of reports from initial or last recertification audit and from the last surveillance audit;
- h) client has submitted evidence that the previous certification body has either accepted the plan of corrective actions or confirmed the elimination of minor nonconformities identified in the last audit;
- i) client has provided evidence that major nonconformities identified during the current certification cycle have been resolved;
- j) time for implementation of the next audit, as planned by the certification body that issued the certification, has not yet expired;
- k) client has responded to the objections addressed to him, since the last audit.

Based on the transfer Application, StandCert performs a pre-transfer review. The review of transfer requests is made by reviewing the documentation and in case there is a need identified during the

	<b>RULES OF MANAGEMENT SYSTEM CERTIFICATION</b>	<b>SC-UP-20</b>
	<b>Edition: 2024-01-27</b>	<b>Page: 21/21</b>

review, for example due to a major nonconformity, a pre-transfer visit to the client, who is the subject of the transfer, must be included to confirm the importance of certification.

If necessary for an adequate review of the transfer Application, StandCert will ask the certification body that issued the certificate to provide it with the necessary information/ documents.

In case of certificate transfer from a certification body that has suspended operations or whose accreditation has expired, suspended or withdrawn, StandCert will, before the transfer, notify the accreditation body under whose accreditation it wishes to issue the certification.

In the event that during review of the transfer Application it is determined that there are issues that prevent completion of the transfer, StandCert will consider such a client as new client, it will document the reasoning for such decision and forward it to the client, and records supporting the explanation will be preserved.

If in the pre-transfer review it is determined that there are no obstacles to the transfer of certification, StandCert will make a decision on certification and establish an audit program for the rest of the certification cycle. The decision on certification is made before conducting a surveillance or recertification audit.

After certification decision is made, StandCert will inform the certification body that issued the certification that was the subject of the transfer.

## **17 Complaints and appeals**

StandCert has an established procedure for resolving complaints and appeals. The procedure is available on the official StandCert website [www.standcert.rs](http://www.standcert.rs).

## **18 Other certification bodies**

StandCert reserve the right to decide on cooperation with other certification bodies.