


UNIVERSAL GmbH	
CERTIFICATION PROCEDURE	Document No: UPR.02

1. OBJECTIVE

The objective of this procedure is determination of methods and responsibilities for receiving applications for management system certificate, conducting assessments, arrangement and granting of certificates to the satisfactory organizations.

2. DEFINITIONS

Certification Committee: is the committee who are appointed by UNIVERSAL Management Board. The Committee is fully authorized to make any decision related to certification by evaluation of reports related to UNIVERSAL's system certificates.

Audit Team: is selected among the UNIVERSAL's Auditors and appointed to assess and evaluate management systems of organizations according to the related standard. It is temporarily formed and work in accordance with the work principles of UNIVERSAL related to the certification the management systems of organizations. Number of auditors may vary according to the size of the organization, variety of product and process and to the related standard. When necessary, a technical expert may take part in the audit team.

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3. RELATED DOCUMENTS

UFR.02 Certification Request Form

UFR.03 Certification Request Inquiry Form

UFR.04 Transfer Assessment Form

UFR.06 Job Sheet

UFR-62 Certification Agreement

UFR.08 Audit Schedule and Client Impartiality Statement

UFR.09 Audit Package Form

UFR.16 Certificate Decision Form

UPR.01 Document Control Procedure

UPR.03 Planning Procedure

UPR.04 Audit Application Procedure

UPR.12 Agency Procedure

UIN-02 Determination of Audit Durations Instruction

UIN-12 Certification Decision Making Instruction

ISO/IEC 17021-1:2015

ISO/TS 22003:2013

IAF MD 2:2017 Transfer of Accredited Certification of Management Systems


IAF MD 5:2019 Determination Of Audit Time Of Quality, Environmental And Occupational Health & Safety Management Systems

IAF MD 11:2019 Application Of ISO/IEC 17021-1 For Audits Of Integrated Management System

IAF MD 21:2018 Requirements for the Migration to ISO 45001:2018 from OHSAS 18001:2007

IAF MD 22:2019 Application Of ISO/IEC 17021-1 For The Certification Of Occupational Health And Safety Management Systems (OH&SMS)

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4. APPLICATION

4.1. Certification Application

4.1.1. General

UNIVERSAL performs its certification services in Germany and all world countries upon its personnel situation are appropriate.

4.1.2. Receiving Applications

The applications for certification are received by Certification Request Form personally or on electronic media (fax, e-mail or via UNIVERSAL website).

It is provided that the organization applying for certification fills separate Certification Request Forms for each of its facilities with different incorporated bodies.

Information required by UNIVERSAL in the course of application is given below:

- a) The desired scope of the certification,
- b) The general features of the applicant organization, including its name and the address (es) of its physical location(s), significant aspects of its process and operations, each shift employee numbers and total employee number, any relevant legal obligations,
- c) general information, relevant for the field of certification applied for, concerning the applicant organization, such as its activities, human and technical resources, functions and relationship in a larger corporation, if any,
- d) information concerning all outsourced processes used by the organization that will affect conformity to requirements,
- e) the standards or other requirements, for which the applicant organization is seeking certification,
- f) whether consultancy relating to the management system to be certified has been provided and, if so, by whom,
- g) the maturity and effectiveness of the current management system and organisational structure and practices. (this is important to identify realistic resource and time implications).

For ISO 45001 applications also identification of details of personnel working on, as well as working away from the organisation's premises, the key hazards and OH&S risks associated with processes, the main hazardous materials used in the processes, and any relevant legal obligations coming from the applicable OH&S legislation.


Both managerial and non managerial permanent and temporary workers, and their representatives, parties that have an interest in an OHSMS certification include ;

- i) legal and regulatory authorities (local, regional, national or international),
- ii) parent organizations,
- iii) suppliers, contractors and subcontractors,
- iv) workers' organizations (trade unions) and employers' organizations,
- v) owners, shareholders, clients, visitors, relatives of workers, local community and neighbours of the organization and the general public,
- vi) customers, medical and other community services, media, academia, business associations and non-governmental organizations (NGOs), and
- vii) occupational health and safety organizations and occupational safety and health-care professionals (for example doctors and nurses) etc. So on audit process these interest parties shall be considered.

4.1.3. Application Review

Certification Manager forms Certification Request Inquiry Form in order to review the application made, and

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forwards to Application Reviewers if the Application Reviewer is different from Certification Manager for particular management system standard such as ISMS.

Application Reviewer reviews related organization's application to ensure followings and approves if appropriate:

- a) The informations about the applicant organization and its management system is sufficient to develop an audit programme
- b) Any known difference in understanding between the certification body and the applicant organization is resolved;
- c) UNIVERSAL has the competence and ability to perform the certification activity (Such as at accredited certification requests auditor and technical expert capacity in the scope of EA, ISMS, EnMS Code, OHSMS, EMS Risk Category, and FSMS category according to ISO 22003:2013 Annex A) of organization, applied EA code),
- d) The scope of certification sought, the site(s) of the applicant organization's operations, employee numbers, working shifts if client operates shifts, time required to complete audits and any other points influencing the certification activity are taken into account (language, safety conditions, threats to impartiality, etc.).
- e) records of the justification for the decision to undertake the audit are maintained.

If auditor, technical expert or personnel involving in certification decision is not available during this review, procurement of this personnel and competence they need to have is provided by defining at Certification Request Inquiry Form.

Audit durations, the reductions and the increases realized on the audit durations are stated on the Certification Request Inquiry Form at this stage.

After the reviewing and approval by Certification Manager, proposal is sent to related organization by Planning Officer.

A "Client Code" is given to the organization who accepts the given offer.

Annex of letter including the documents requested in the application phase are prepared. In the application phase, the following documents are requested from the organization:

- The system documents of the organization (Manuals and Procedures)
- Introductory documents, if exists (brochure, catalogue, advertisement cd's etc.)
- Signature circular of the Authorized person who signs the agreement.
- Copy of the Official Document (ex: Commercial Registry Gazette)
- Commercial Activity Certificate Permission documents about legal legislation


For the propose of acceptance of proposal's confirmation of UFR.03 Certification Request Inquiry Form by Application Reviewer, Certification Manager creates an UFR.06 Job Sheet. In this instance, if necessary, by negotiating with the organization's authority about unclear situations is removed and application's definition confirmed. Certification Agreement process starts by preparation of UFR-62 Certification Agreement by Planning Officer. Certification Agreement is sent to client and signed copy from the client is received. Final control of signed UFR-62 Certification Agreement is done by Planning Officer in terms of correctness of the whole certification information written on UFR-62 Certification Agreement prior to forwarding it General Manager's attention. Finally, General Manager signs the Certification Agreement and signed copy of the Certification agreement is kept in electronic directory of each client.

Contract review and certification process of Agencies are explained in UPR.12 Agency Procedure in detail.

4.1.4. Transfer Application

The transfer of accredited certifications is only applied to the certificates under accreditation of a member of EA, PAC, IAAC and IAF MLA. And it is proceeding with IAF MD 2:2017 Transfer of Accredited Certification of

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Management Systems document.

Transfer application is reviewed by Certification Manager by UFR.04 Transfer Evaluation Form in order to provide followings:

- Whether the activities of the organization is in the accreditation scope of UNIVERSAL,
- The reasons for the transfer,
- The accreditation condition, validity and validity period of the certificate,
- The validity of the current certification,
- The assessment reports and documentation on corrective actions aroused in these assessments,
- The complaints received and the actions taken,
- The Document that will support Certification Decision date;
- The current state in the certification cycle.

At this stage, conducting transfer is determined either as audit or site visit. Transfer process is conducted as surveillance audit if 10 or 22 months passed after issue date of certificate and is conducted as reassessment if 34 months passed after issue date of certificate. Although 14 or 26 months passed after issue date of certificate, surveillance audit is still not conducted; transfer process is conducted as surveillance audit again.

Where UNIVERSAL is taking account of certification already granted to the client and to audits performed by another certification body (as Transfer certification), it shall obtain and retain sufficient evidence, such as reports and documentation on corrective actions, to any nonconformity. The documentation shall support. The fulfilling of the requirements in this part of ISO/IEC 17021-1. UNIVERSAL shall, based on the information obtained, justify and record any adjustments to the existing audit programme and follow up the implementation of corrective actions concerning previous nonconformities.

If transfer is conducted as assessment the system documents of the organization and the records of the assessment conducted by the previous certification body is requested and inspected.

If transfer is conducted as site assessment the records of the assessment conducted by the previous certification body is requested and inspected after checking the existence of transfer conditions that are stated above by Certification Manager and UFR.04 Transfer Assessment Form is completed. Subsequently the organization is visited by the personnel charged with a duty. The records of the assessment conducted by previous certification body could also be inspected during visit.

The previously aroused nonconformities should be closed prior to the transfer audit by the existing certification body. Otherwise the unconformities are closed by UNIVERSAL.

If some doubts arose at the end of these inspections, the applicant organization is treated as new client.

The transfer requests of the companies whose certificates are suspended or in the risk of suspension are not accepted.

At receiving transfer applications, reviewing and making certain and making contract, method of new certification/surveillance applications is applied.


Special Audits

4.1.5. Application for Change of Scope

UNIVERSAL, in response to an application for extension to the scope of a certification already granted, makes a feasibility study to decide whether or not the extension may be granted, and determine any audit activities necessary for this. For the organization accepting the proposal given for extensions to scope, scope extension audit is planned and conducted. Extensions to scope, in appropriate situations, may be conducted in conjunction with a surveillance audit.

In the case of a reduction of the scope, a new certificate is arranged without conducting an audit.

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Audit for The Change of Scope is conducted as an audit related with all clauses of reference standard or normative document that can be affected from address change.

Also Audit for the extension of scope is conducted as a surveillance audit or an audit about all clauses of reference standard or normative documents in accordance with the new scope organization demanded according to the situation agreed on.

4.1.6. Application for Change of Address

In the case of organization having an application for change of address, if the organization, who accepts the proposal, is a production organization or for service offered, performs an activity which has an effect on service offered at related address, change of address audit is planned.

4.1.7. Application for Short Notice Audits

When it is necessary to conduct audits of certified clients at short notice or unannounced to investigate complaints, or in response to changes, or as follow up on suspended clients, UNIVERSAL organizes and conducts minimum half day long short notice audits. Duration of the short notice audit and size of the audit team is determined as per the seriousness of the complaint. UNIVERSAL takes additional care in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members. UFR-09 Audit Package Form is used for documentation of the Short Notice audits results.

4.1.8. Application for Migration Audits

Based on the agreement with the organizations certified to previous version of standard (for example: OHSAS 18001:2007), UNIVERSAL can conduct migration activities during a routine surveillance, recertification audit or a special audit.

Where migration audits are carried out in conjunction with scheduled surveillance or recertification (i.e. progressive or staged approach) then a minimum of auditor man-day is required to be added to cover existing and new requirements implied by ISO 45001:2018.

Recognizing that each client and migration audit is unique and audit duration will be increased above the minimum as needed to sufficiently demonstrate conformity to new standard (for example : ISO 45001:2018).

Detailed planning and audit process have been explained in UIN-11 Standard Transition Process Follow Up Instruction.

4.1.9. Application for Follow-up Audits

In the cases of nonconformities requiring follow-up during audits are found, follow-up audits are conducted in order to determine whether the nonconformities found were removed and the corrective action(s) related to them were applied effectively or not.


4.2. The Planning of Audit and Preparing the audit plan

The audits are planned in accordance with the UPR-03 Planning Procedure and UIN-02 Determination of Audit Durations Instruction that has prepared according to IAF MD-5, ISO 22003, ISO 27006, ISO 50003 and detailed in UPR-03 Planning Procedure.

The audit plan at least includes or refers to the following:

- a) the audit objectives;
- b) the audit criteria;
- c) the audit scope, including identification of the organizational and functional units or processes to be audited;

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- d) the dates and sites where the on-site audit activities are to be conducted, including visits to temporary sites and remote auditing activities, where appropriate;
- e) the expected duration of on-site audit activities;
- f) the roles and responsibilities of the audit team members and accompanying persons, such as observers and interpreters.

Also, the audit objectives and audit criteria is determining on UFR.09 Audit Package Form's Section-1 and Section-2.

4.3. Conducting the Audits

The audits are conducted and reported in accordance with the UPR-04 Audit Application Procedure.

Certification audits may include remote auditing techniques such as interactive web-based collaboration, web meetings, teleconferences and/or electronic verification of the client's processes. An audit for which the remote auditing activities are utilised, UNIVERSAL will apply the requirements defined in IAF MD4. These activities shall be identified in the audit plan, and the time spent on these activities may be considered as contributing to the total duration of management systems audits.

For OHSMS, these activities shall be limited to reviewing documents/records and to interviewing staff and workers. In addition for OHSMS, processes control and OHS risk control cannot be audited using remote audit techniques.

4.4. Evaluation

Audit report prepared by audit teams is not last decision; it is a view to Certification Committee works in accordance with the requirements explained in UIN-12 Certification Decision Making Instruction.

Unless it is guaranteed that the major and minor nonconformities found are closed following the audits, Certification Committee cannot propose for certification, recertification decisions.

Following the confirmation for entirely closing of the nonconformities,

- Audit Report,
- If any, Audit Finding Report,
- If any, Observation Form,
- Related Auditor Worksheet,
- If any, records related to the audit and their annexes,
- Certificate Draft Form (Certification and Change of Scope Audits)

are presented to The Certification Committee.


The presentation of the required records to The Certification Committee for certification, expanding, reducing the scope, renewing, suspending or restoring, withdrawing or recertification decisions is coordinated by The Certification Manager.

Persons or committees that make the certification or recertification decisions are different from those who carried out the audits is principal.

Persons or committees that make the certification, expanding, reducing the scope, renewing, suspending or restoring, withdrawing or recertification decisions, confirms prior to making a decision, that:

- a) the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification;
- b) it has reviewed, accepted and verified the effectiveness of correction and corrective actions, for all nonconformities that represent

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- ✓ for any major nonconformities, it has reviewed, accepted and verified the correction and corrective actions
- ✓ for any minor nonconformities it has reviewed and accepted the client's plan for correction and corrective action

c) it has reviewed and accepted the client's planned correction and corrective action and evidence of any correction and corrective actions taken for any other nonconformities.

UFR.16 Certificate Decision Forms for granting or refusing certification, expanding or reducing the scope of certification, suspending or restoring certification, withdrawing certification or renewing certification decisions are prepared by Certification Committee and Certification Manager.

At the end of the review and evaluation of The Certification Committee about related organizations file by UFR.16 Certificate Decision Forms, the decision for certification or recertification is given.

The Certification Committee makes the certification decision on the basis of an evaluation of

- ✓ Audit report (especially for OHSMS audit reports contain a statement on the conformity and the effectiveness of the organization's OH&SMS together with a summary of the evidence with regards to the capability of the OH&SMS to meet its compliance obligations)
- ✓ Comments on audit findings/nonconformities-corrections, corrective actions taken by the clients
- ✓ Confirmation of the information provided to the certification body used in the application review;
- ✓ Confirmation that the audit objectives have been achieved;
- ✓ Recommendation whether or not to grant certification, together with any conditions or observations,
- ✓ And any other relevant information (e.g. public information, comments on the audit report from the client, complaints received from users of certification).

At the end of the review and evaluation of The Certification Committee, the auditor who prepared the report could be consulted for the subjects that are unclear or required detailed information. In such situations, the decision for the organization is left to later. The Certification Manager cooperates with the Lead Auditor to access to the required information.

If UNIVERSAL is not able to verify the implementation of corrections and corrective actions of any major nonconformity within 6 months after the last day of stage 2, there must be conduct another stage 2 prior to recommending certification.

In the case of not conducting the audit, the organization is informed of the decision with a letter by Certification Manager.

Following the negative decision of Certification Committee for granting certificate or an obstacle found for the usage of the certificate, she is requested by The Certification Department to remove those causes and to apply in writing for a follow-up audit.

4.5. Arrangement of The Certificate

Following the positive decision of The Certification Committee for granting certificate, The Certificate Decision Forms are signed and are given to Certification Officer by Certification Manager in order to arrange the certificates.


System certificate is prepared by Certification Officer according to The Certificate Decision Form approved by Certification Committee and Certification Manager.

The preparation period of the certificate is normally (1) one week, in the average.

The following information is available on the prepared certificate:

1. Name, geographical location of each certified client (or geographical location of Head office and sites

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included multi-site scope) of certified organization,

2. The effective date of granting, expanding or reducing the scope of certification, or renewing certification which shall not be before the date of the relevant certification decision;

NOTE: UNIVERSAL can keep the original certification date on the certificate when a certificate lapses for a period of time provided that:

- the current certification cycle starts, and expiry date are clearly indicated;
- the last certification cycle expiry date be indicated along with the date of recertification audit.

3. The expiry date or recertification due date consistent with the recertification cycle,

4. A unique Identification code (Certificate number)

5. The management system standard and/or other normative document, including indication of issue status (e.g. revision date or number) used for audit of the certified client.

6. The scope of certification with respect to the type of activities, products and services as applicable at each site without being misleading or ambiguous;

7. The name, address and logo of UNIVERSAL; other marks (e.g. accreditation symbol, client’s logo) may be used provided they are not misleading or ambiguous;

8. Any other information required by the standard and/or other normative document used for certification,

9. In the event of issuing any revised certification documents, a means to distinguish the revised documents from any prior obsolete documents.

For surveillance, follow-up, transfer, change of scope, changes of address audits UFR.16 Certificate Decision Forms are prepared by Certification Officer.

The audit reports for surveillance, follow-up, transfer, change of scope, address and organization name changing requests are reviewed and evaluated by Certification Manager. After the positive decision of Certification Manager, The Certificate Decision Forms is signed by Certification Manager and forwarded to Certification Officer in order to arrange certificates.

If necessary, for multi-site organizations, additional address information is also available on the certificates for all the sites considered eligible for certification (on the certificate or in the annex).

The numbering of the certificates is performed according to the UPR.01 Document Control Procedure.

After the arrangement and in the coordination with Certification Manager, the certificates are approved by signature of Managing Director or authorized personnel. A photocopy of the certificate is kept in the client’s folder.

In the case of republishing the certificate in consideration of changing the scope and the address, “Issue/ Revised Date” of the certificate is entered. “Original Certification Date” remains same as the date which the certificate issued initially. Expiry Dates are given as per the principle of “one year after and one day before” from latest issuance date on the certificates.

The certificate of the organization is sent by cargo or handed over by taking signature, following the payment of the organization for the invoice. During this phase agreement signed by the UNIVERSAL signing authority is also sent to the related organization.


The organizations, to which the certificates are arranged, are recorded in “Certificated Organizations List”.

4.6. Usage of The Certificate

Normally, UNIVERSAL management system certificates are valid for (3) three years. As a principle UNIVERSAL provides one-year valid certificates, and the certificates are renewed as per the principle of “one year after and one day before” from latest issuance date on the certificates consecutively taking of certification decision after satisfactorily completion of surveillance audits.

The rules for the organization’s usage of the certificates are declared in the Certification Agreement mutually

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signed by UNIVERSAL and the organization. By signing this agreement, the organization declares that she will comply with the rules. The organizations could only use their system certificates within the scope of the rules stated in the agreement.

UNIVERSAL monitors the organizations about the usage of the certificate after the certificates are arranged. Press, publications and media are monitored in this scope. Corrective action is requested from the organization if the complaints from the clients are examined and a situation detected contrary to the rules. If the corrective actions are not accomplished in the determined time period then UNIVERSAL acts as follows:

- The related accreditation body is informed,
- The cancellation of the certificate is announced to the public,
- Legal action is initiated.

4.6.1. Granting Certification

On completion of the Stage 2 audit the Lead Auditor issues a report to Head Office along with recommendation for approval which will be submitted for impartial independent review.

If certification is granted, the client is included on UNIVERSAL directory of certified clients, which is available to the public via the UNIVERSAL website or on request.

Each Certificate of Registration defines the Scope of Registration.

The Certificate of Registration is personal to the Company who must not give permission for it to be used by a third party.

Registration is on an annual basis subject to continued compliance with the Standard following a successful annual/bi-annual surveillance visit. Certificates remain the property of UNIVERSAL GmbH.

UNIVERSAL makes granted certifications, and its accreditation information/ status publicly available via updating the official website www.uni-cert.de periodically. Convenience/ content control of required changes/ updates need to be done on official website are carried out by Management Representative of UNIVERSAL GmbH. After approval of Management Representative required changes/ updates shall be applied.

4.6.2. Maintaining Certification

UNIVERSAL maintains certification based on demonstration that the client continues to satisfy the requirements of the management system standard. It may maintain a client's certification based on a positive conclusion by the audit team leader without further independent review, provided that


- a) for any major nonconformity or other situation that may lead to suspension or withdrawal of certification, UNIVERSAL has a system, according to this system audit team leader is required to report to UNIVERSAL the need to initiate a review by appropriately competent personnel, different from those who carried out the audit, to determine whether certification can be maintained, and
- b) competent personnel of UNIVERSAL monitor its surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity is operating effectively.

Surveillance audits is conducted at least once a calendar year, except in recertification years. The date of the first surveillance audit following initial certification is planned not to be more than 12 months from the certification decision date.

UNIVERSAL can adjust the frequency of surveillance audits to accommodate factors such as seasons or management systems certification of a limited duration (e.g. temporary construction site).

Further visits may be carried out if areas of concern are identified, or if any changes/ circumstances occur which significantly affect the registration.

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For OHSMS, Independently from the involvement of the competent regulatory authority, a special audit may be necessary in the event that UNIVERSAL becomes aware that there has been a serious incident related to occupational health and safety, for example, a serious accident, or a serious breach of regulation, in order to investigate if the management system has not been compromised and did function effectively. In this case, UNIVERSAL will document the outcome of its investigation according to special audit requirements in this procedure.

If the information on incidents such as a serious accident, or a serious breach of regulation necessitating the involvement of the competent regulatory authority, provided by the certified client or directly gathered by the audit team during the special audit, shall provide grounds for UNIVERSAL to decide on the actions to be taken, including a suspension or withdrawal of the certification, in cases where it can be demonstrated that the system seriously failed to meet the OHSMS certification requirements.

4.6.3. Refusing Certification

UNIVERSAL identified when the clients request for certification or a normative document or a certification scheme with which UNIVERSAL has no prior experience or qualification.

Through the process of the review of application UNIVERSAL shall consider requests and decline to undertake certification assessment activity:

- if any known difference in understanding between UNIVERSAL and the applicant client cannot be resolved or
- UNIVERSAL does not have the competence and capability to perform the required certification activity or
- the request is outside UNIVERSAL's scope of accredited activities or
- has obtained knowledge from other Certification bodies or
- the applicant client is a Certification Body
- UNIVERSAL does not have adequate product liability insurance provision for client requirements

4.6.4. Expanding Certification

This will be applied for in the same way as the initial audit, indicating the changed scope of registration, change or name or address, additional standards/ products or other changes required.

An audit may be required to verify the changes or additions. If successful a new certificate indicating the scope will be issued by UNIVERSAL. There will be a charge for any changes which involve the re-issue of a certificate.

4.6.5. Reducing Certification

UNIVERSAL shall reduce the clients' scope of certification to exclude the parts not meeting the requirements When a client's management system has persistently, or seriously failed to meet the certification requirements for those parts of the scope of certification. Any such reduction shall be in line with the requirements of the standard used for certification.


UNIVERSAL certified client may voluntarily reduce part of its certification at any time by providing written notice to UNIVERSAL.

Requests must clearly state what is to be withdrawn and should indicate the reasons for the change. Requests will normally be processed within 10 days. Any fees / monies due shall be payable to UNIVERSAL at this time.

UNIVERSAL shall take necessary actions and modifications to formal certification documents, public information, in order to ensure the withdrawal is clearly communicated and details clearly specified in its documentation and public information.

4.7. Recertification

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At the end of the validly period of three (3) years of the certificate, a reassessment is conducted in order to guarantee the effective implementation and maintenance of the organizations' management systems according to the requirements of the reference standard.

The reassessment is conducted covering the scope audited in the certification audit and considering the past performance and weak points of the organization.

The follow-up for the findings and nonconformities found in the re-audits is done in the same way as in the certification audits.

Following the accomplishment of the corrective actions for the nonconformities found in the reaudit, the conformity of the organization's management system to the requirements of the reference standard is confirmed and new certificate is arranged after the required activities, as in the first certification audit, are accomplished.

4.8. Suspension of The Certificate

The Certificate is suspended for max six (6) months, in case the following conditions occur:

- The client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system,
- The certified client does not allow surveillance or recertification audits to be conducted at the required frequencies,
- The certified client has voluntarily requested a suspension,
- Following the major nonconformities found in the audits conducted,
- The minor nonconformities found in the audits are not closed until the determined deadlines,
- Not obeying the certification rules,
- Failure to pay certification or audit fees.

The suspension of the certificate is decided by the Certification Committee and Certification Manager. The decision of suspension is communicated to the organization in writing. In most cases, the suspension would not exceed six months. UNIVERSAL may extend the suspension period, only once more and for maximum three (3) months, following the decision of the Certification Manager.

Under suspension, the client's management system certification is temporarily invalid. UNIVERSAL secures by Certification Contract that under suspension clients do not make promotion/advertisement of its certification. In the cases of it is determined that client does not abide by this, a written warning is made and if needed legal measures are taken. UNIVERSAL can take all legal measures it deems appropriate, including publishing of suspension on web or on media.

UNIVERSAL restore the suspended certification if the issue that has resulted in the suspension has been resolved. Failure to resolve the issues that have resulted in the suspension in a time established by UNIVERSAL results in withdrawal or reduction of the scope of certification.


UNIVERSAL can reduce the client's scope of certification to exclude the parts not meeting the requirements, when the client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification. For any such reduction consistency with the requirements of the standard used for certification is considered.

Failure to resolve the issues that have resulted in the suspension in a time established by UNIVERSAL, results in withdrawal or appropriate reduction of the scope of certification.

4.9. Removal of The Suspension Status of The Certificate / Restoring

UNIVERSAL shall restore suspended certification if the issue that has resulted in the suspension has been resolved.

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The suspension status is removed upon the written declarations of the organizations to UNIVERSAL stating that the reasons for suspension of their certificates are removed.

UNIVERSAL conducts an audit at the organization in order to confirm the removal of the suspension reasons. The type, scope and duration of the audit for the removal of the certificate are determined according to the suspension reasons.

Suspension status of the certificate of organization whose conformity is verified at the end of the audit is removed. In cases the reasons for the suspension are not removed, the certificate is to be cancelled.

The removal of the suspension status is declared to the company in writing.

4.10. Cancellation

The certificate is cancelled in the following conditions:

- The request of the organization,
- Bankruptcy of the organization or termination of the activities in the scope of certificate,
- The incorporated body of the organization is changed,
- The organization does not accept the suspension conditions,
- The organization does not remove the suspension reasons,
- The organization does not give permission for the audit until the end of the suspension period,
- It is found in the follow up audits for removing suspension condition that the organization did not close the nonconformities in the determined time periods,
- Misleading and unfair usage of the certificate by the organization for the products or service not included in the scope of the certificate,
- The organization is not present in the stated site address,
- The alteration of the organization on the certificate,
- The organization does not confirm the date of surveillance audit.

If the organization does not apply for the follow-up audit within six (6) months following the suspension of the certificate of the organization, the organization may be allowed additional time or the certificate may be cancelled by the decision of Certification Manager.


In case the certificate is cancelled, the organization should fulfil the following requirements and requirements taking part in Certification Contract and cancellation letter which has exact date of cancellation will be prepared and sent to client and clients have been informed about below situations:

- Stop the usage of UNIVERSAL certificate and logo,
- Abandon all the rights in the scope of the cancelled certificate,
- Pay for the unpaid certification and audit fees.

The organization should remove the logo from any correspondence and introductory material in one month following the cancellation of the certificate. Otherwise UNIVERSAL;

- Informs the related accreditation body and the other certification organizations,
- Provides the announcement via broadcasting organizations that the organization is using the certificate illegally and violating the terms of the agreement,
- Take legal actions in order to compensate the material or moral damage that will take place for this reason.

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Furthermore, the certificates are cancelled, and a public announcement is made where the organization does not request reaudit of the certificates, stop supplying the product/service in the scope of the certificate or shuts down.


If Voluntary Suspension or withdrawal may voluntarily suspend or withdraw all or part of its certification at any time by providing written notice to UNIVERSAL.

Requests must clearly state what is to be suspended or withdrawn and should indicate the reasons for the change. Requests will normally be processed within 10 days. Any fees/ monies due shall be payable to UNIVERSAL at this time.

UNIVERSAL shall take necessary actions and modifications to formal certification documents, public information, authorisations for use of marks etc, in order to ensure the suspension / reduction / withdrawal is clearly communicated and details clearly specified in its documentation and public information.

REVISION INFORMATION		
Rev. No	Revision Date	Revision Explanation
0	23.06.2008	Procedure is re-established because of passing ISO/IEC 17021 standard.
1	14.07.2008	Procedure is re-established because of correction in agreement process and false in spelling.
2	09.02.2009	Procedure is re-published because of the change in "Audit Finding Report".
3	01.03.2012	Procedure is revised because of passing ISO/IEC 17021:2011 standard.
4	02.05.2012	Checking of documents before AB audit.
5	09.11.2013	Grammatical and editorial amendments have been done. Procedure's fonts have been changed from "Tahoma" to "Calibri".
6	20.01.2014	The company name and the logo corrected as "UNIVERSAL AG" and adding IAF reference doc.
7	05.06.2014	The company name and the logo corrected as "UNIVERSAL" and adding of cancellation letter method in 4.10 Cancellation part.
8	16.02.2015	Form names and Process Flow revision according to Working Principles
9	04.01.2016	Transition to ISO/IEC 17021-1:2015, ISO/TS 22003:2013 standard and IAF MD 5:2015.
10	03.07.2017	Detail on certification decisions (expanding, reducing the scope, suspending or restoring, withdrawing decisions)
11	18.03.2019	Corrections have been done against the AB surveillance audit's non-conformances raised about final review of "Certification Agreements", clarification on "Short-Notice" audits and "Website Content" control, "Certification Decision Making System". Revised audit documentation has been replaced. "Certification Services" phrase has been removed from commercial title of "UNIVERSAL GmbH"
12	27.03.2019	Reference to UIN-12 Certification Decision Making Instruction has been added.
13	17.01.2020	ISO 45001 – OHSMS certification process addition

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PREPARATION	APPROVAL
MANAGEMENT REPRESENTATIVE	MANAGING DIRECTOR

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