CERTIFICATION RULES PROCEDURE

1. PURPOSE

This procedure; It was created in order to determine the obligations of UGMCERT certified organizations and UGMCERT, to explain the certification processes, to specify the methods and responsibilities.

2. RESPONSIBILITIES

System Certification Manager is responsible for requests regarding certification.

3. SCOPE

This procedure covers the rules and obligations that UGMCERT and the organizations it certifies.

4. DEFINITIONS

Client Company: The organization applying for certification to UGMCERT.

Certification Committee: It is the committee appointed by the General Manager. It is authorized to take all decisions related to certification by evaluating the reports of the Audits of the organizations to be certified by UGMCERT.

Inspection Team: It is the team assigned to examine and evaluate the management system of the organizations regarding the certification activities, according to the relevant standard.

5. APPLICATION

5.1. Receipt of Certification Application

The application is accepted after the FR-01-01 Certification Application Form is completely filled in by the customer company and the necessary documents are submitted to UGMCERT in person or electronically.

The customer has to fill the company application form completely. Otherwise, or if the required documents are not submitted, the application will not be processed. The accuracy of the information in the application form is the responsibility of the customer company making the application. The other person authorized on behalf of UGMCERT will call the customer company and get the information to eliminate other deficiencies.

5.2. Pre-Inspection

Depending on the request of the client company, it is carried out with the aim of measuring and reporting the preparation level of the client company before the certification audit. It is not a mandatory step, it is optional.

5.3. Certification Audit

5.3.1. Stage 1 Audit

All certification audits are conducted in two (2) stages. In line with the requirements of the risk group to which the client firm is included, the Stage 1 audit is performed at the client firm's site(s) or at the desk.

While determining the risk groups, the risk table created according to the NACE codes in IAF MD 5 and IAF MD 22 is taken into account. Stage 1 is carried out in the field in high risk groups in ISO 9001 certification audits, in ISO 14001 certification audits, high and medium risk groups, and in high and medium risk groups in ISO 45001 certification audits. In ISO 22000, ISO/IEC 27001, ISO 22301 and ISO 37001 audits, all Stage 1 is done on site. In ISO 22000 audits, only in exceptional cases such as very remote locations, short-term seasonal production, a part of the ISO 22000 Stage 1 audit can be performed on a desk basis, provided that it is fully justified. Stage 1 can be done at the desk in low and medium risk groups in ISO 9001 certification audits, and in low risk groups in ISO 14001 and ISO 45001 audits. However, if the lead auditor deems it necessary, he may request Stage 1 to take place in the field by obtaining the approval of the Certification Manager.

It is done to review the documented information of the Stage 1 management system, to collect the necessary information about the scope of the management system, related legal obligations, current risks, to review the planning and execution of the internal audit or YGG, and to determine whether the client company is ready for Stage 2. At the same time, it is carried out for the control of the criteria specified by the organization in the application form and especially affecting the audit period.

If any non-compliance is detected during the Stage 1 audit, Stage 2 will not occur. Identified nonconformities should be completed prior to the Stage 2 audit and UGMCERT should be notified.

After the stage 1 audit, the stage 2 audit must be carried out within 6 months at the latest. Otherwise, the stage 1 inspection will be repeated.

5.3.2. Stage 2 Audit

Stage 2 audit is the measurement by the audit team whether the adequacy of the management system has been achieved. Performing the audit; In order to confirm whether the management system of the client company is applied in an acceptable way according to the applied standard, scope and documentation, mutual negotiations are made by examining the documents and records by sampling method, observing the studies and conditions in the relevant fields.

If the system's compliance with the standard is determined as a result of the Stage 2 audit, the client company will be recommended by the audit team for issuing a certificate. In case non-compliance(s) are detected during the audit, a 2-month closing period is given for minor and major non-conformities. In case the nonconformities are closed within this period, it will be recommended to issue a certificate by the audit team.

Major (Major) Non-Compliance; Nonconformity that affects the management system's ability to achieve desired results.

The following situations can be termed as major nonconformities;

- There is significant doubt over existing effective process control (or whether products/processes meet certain requirements),
- An identical standard requirement or a certain number of minor nonconformities related to the same issue are detected and this indicates a systematic error.
- Non-compliance with legal requirements for ISO 45001 audits or serious violations Unless corrective actions regarding Major Nonconformances are carried out, and if a follow-up audit decision is made, a decision to issue a certificate cannot be taken before it is verified by performing a follow-up audit.

Minor (Minor) Nonconformity; Nonconformity that does not affect the management system's ability to achieve desired results.

If the audit team has not suggested that a follow-up audit is required for minor nonconformities, it can also be checked by examining documents and records whether these nonconformities have been resolved.

5.3.3. Surveillance Controls

Surveillance Audits are carried out by UGMCERT CERTIFICATION at least once a year, provided that the certificate validity date is not exceeded, in order to control the continuation of the organization's compliance with the documented standard.

The corrective action period determined for minor and major nonconformities detected in surveillance audits cannot be longer than one (1) month. At the end of the 1-month period given for major nonconformities, a follow-up audit is performed. Even if the nonconformity in question has been closed, the validity of the certificate will continue.

It is decided by the committee. For minor nonconformities detected in the surveillance audit, the company sends the information and documents regarding its corrective actions to UGMCERT to be submitted to the Certification Committee at the end of the corrective action date. This information and documents pertaining to nonconformities are submitted to the Lead Auditor for evaluation and approval before being submitted to the committee's decision.

5.3.4. Recertification Audits

Due to the expiration of the Management System Certificate at the end of three (3) years, a re-certification audit is carried out. In line with the written request of the customer company, a certificate renewal audit is carried out in accordance with Article 3. If there are no major changes in the information in the FR-01-01 Certification Application Form filled by the client company, Stage 1 will not take place.

5.3.5. Scope Change Audit

The client company may request an expansion or reduction in the scope of the document it has. In Scope Change Audits, documents are examined. On-site inspection is carried out during the inspection period, which varies depending on the requested scope. As a result of the Scope Change Audit;

If it is decided to expand or narrow the scope in line with the decision of the Certification Committee, the old document is requested back from the customer company and a new document is prepared.

5.3.6. Address Change Control

It is the audit performed when there is a change in the facility address of the document owned by the customer company. After the address change, the customer must make the necessary changes in the company documentation and forward it to UGMCERT Certification. In case the address change affects the field of activity, a full audit is carried out in the customer company and the old document is canceled and a new document is issued when necessary.

5.3.7. Title Change Control

It is the audit performed when there is a change in the title of the client firm. After this change, the customer must make the necessary changes in the company documentation and forward it to UGMCERT.

5.3.8. Tracking Control

Follow-up audit is carried out in order to determine that the detected nonconformity(s) has been resolved and the corrective action(s) related thereto is effective, in case nonconformity(s) requiring follow-up are detected during the audits. The duration of the follow-up inspection cannot be longer than six (6) months.

5.3.9. Complaint Control

In case of complaints containing objective evidence against the customer company, the Product/System Certification Manager may decide to conduct an extraordinary audit by contacting the company even though it is not in the program.

5.4. Documentation

As a result of the audit, it is determined that the management system complies with the relevant standard conditions and the client company is entitled to receive a certificate after the Certification Committee approves it.

The validity date of the certificate is one (1) year, and the certificate is valid for three (3) years from the date of the first certification decision if the client company complies with the Certification Rules Procedure and is successful in the surveillance audits to be held at least once a year. In scope change, address change and title change audits, no change is made in the document duration, the first document date is taken as a basis for the validity period of the document.

5.5. Logo Usage

The customer company that is entitled to receive the certificate can use the UGMCERT Management System Certification Mark(s) as defined in INS-01-01_Document and Logo Usage Instruction.

This instruction is available at the UGMCERT web address.

5.6. Document Suspension or Cancellation

5.6.1. Document Suspension

The use of certificates of certified client companies may be suspended for the following reasons:

- The client firm's certified management system fails to meet the certification requirements, including the management system effectiveness requirements, on an ongoing or serious basis,
- Not accepting unannounced audits by UGMCERT certification
- Failure to close the nonconformities detected during the audit within the stipulated time
- The certified client firm does not allow surveillance or recertification audits to be conducted as often as necessary,
- The certified client firm's voluntary request for temporary suspension,
- Upon the request of the organization as a result of the interruption of its activities due to the change in the address of the facility for which the certificate was issued,

- Upon the request of the customer company, in cases such as strikes, lockouts, extensions, and organization, natural disasters, shortage of raw materials, failure to receive orders or similar force majeure, in cases where the organization stops production,
- Failure of the client company to fulfill its contractual obligations,
- Not complying with the terms of use of the Brand and Logo,
- Non-payment of audit fees. (for 1 month)

The client company stops the use of documents, logos and trademarks as of the notification of the decision to suspend the certificate.

The customer company returns the documents and annexes to UGMCERT within fifteen (15) days at the latest.

If the customer companies whose certification has been suspended notify UGMCERT in writing that the reasons for suspension have been removed, the suspension is lifted.

In order to confirm that the reason for suspension has been eliminated, an audit is carried out by UGMCERT at the Customer company.

At the end of the audit, the suspension of the certification of the customer company, whose compliance is verified, is lifted. In case the reasons for suspension are not eliminated, the certification is canceled.

5.6.2. Cancellation of Document

Certification may be revoked for the following reasons:

- The request of the customer company,
- The bankruptcy of the customer company or the termination of its activities within the scope of the document,
- Change of the legal entity of the client company,
- Customer firm does not accept the suspension conditions,
- The customer company does not eliminate the reasons for suspension,
- Customer firm's failure to confirm for follow-up inspection at the end of the suspension period,
- In the follow-up inspections carried out for the lifting of the suspension, the identified nonconformities are not closed within the stipulated periods,
- The customer company's misleading and unfair use of the document in areas different from the product or service specified in the certification,
- The customer cannot be found at the company's address,
- As a result of the customer firm falsifying the certificate and its annexes,
- As a result of the client firm's refusal to accept the surveillance audit,
- Non-payment of audit fees.
- Not accepting the announced and/or unannounced audits by the accreditation body

The customer stops the use of the document and trademark as of the notification of the decision of the company to cancel the document and terminate the contract. The customer company must return all kinds of documents given to him under the contract to UGMCERT within fifteen (15) days at the latest from the date of notification.

5.7. Obligations

5.7.1. Obligations of the Client Company

- To apply the Management System standard conditions based on certification,
- To inform the auditors of all activities related to the evaluation of the relevant Management System in the audits to be carried out before and after certification, to provide the information requested by them accurately and on time, to provide all kinds of convenience in their work,
- Approving the participation of observers (accreditation auditors, etc.) in the audit when necessary, and the review of the quality management systems of the companies by visiting the companies certified by UGMCERT when deemed necessary by the accreditation agency,
- To assign personnel who will be present during the audit and assist the auditors with the necessary information and documents,
- To use the document in works, offers, tenders, to show that the product/service is produced/offered within the scope of the management system, which is the basis of application, and not to use it outside the scope and settlement(s) specified on the document,
- To stop using and referencing the document after the suspension of the document or the termination of the document agreement, to stop the use of any document that declares to be certified,
- To keep records of customer complaints related to the performance of products, services, processes and, if any, services arising from nonconformities in the Management System, to share them with UGMCERT when necessary,
- To pay the fees related to the Management System Certification within ten (10) days following the invoice.

5.7.2. Obligations of UGMCERT

To keep all information and documents related to the client company confidential in accordance with its procedures, to have the contract containing confidentiality provisions signed by certification personnel, audit officers, committees and experts,

- Notifying the customer companies of the changes in the standard conditions on which the certification is based, providing an appropriate transition period for the companies to apply the new conditions, provided that it is not contrary to the provisions of the legislation and does not create an unfair competition environment,
- If the Objection and Complaint Committee decides that an error caused by UGMCERT caused an objection when the customer company has an objection or complaint, not to demand the costs of the work to be done from the customer company,
- To all applicant companies will be treated equally and impartially, to work away from all kinds of commercial, financial and other pressures, to provide reliable system certification service based on objective data without being exposed to pressure from any party in the activities of the personnel and without considering the interests of any institution or person, To undertake that the audit staff will be different from the people involved in the audit decision mechanism, and that the senior management will not have any positive or negative impact on the certification decision making process.

5.8. Objections and Complaints

After the audits, audit reports, audit team, audit content etc. by the client company. Objections and complaints may be made orally or in writing.

Decisions and methods regarding complaints are determined in accordance with P-02 Objection and Complaint Evaluation Procedure.

6. Related Documents

- Document and Logo Usage Instruction (INS-01-01)
- Certification Application Form (F-01-01)
- Objection and Complaint Evaluation Procedure (P-02)

Author/Organization Representative Approval	Approval/System Certification Manager Approval

Revision Information

Rev. No	Rev. Date	Rev. Explanation
00	-	First Release