SİGMACERT ULUSLARARASI BELGELENDİRME EĞİTİM VE TEST HİZMETLERİ LTD. ŞTİ.

YS.PR.01 Certification Procedure
(Revision 06 – 29.05.2021)

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Certification Procedure

CONTENT	PAGE NO.

A. Objective

Sigmacert is required to have a documented management system certification system in order to achieve and maintain ISO 17021-1 accreditation. This document outlines the procedure undertaken together with the documents used during the process of management system certification.

The purpose of this procedure is to describe Sigmacert's approach to handling certification queries and the certification process.

B. Scope

This procedure covers certification process. The process is designed to be followed by Sigmacert staff, auditors, and applicants and certificate holders/licensees, in order to meet requirements in the standards listed below.

C. References

The following referenced documents are relevant for the application of this procedure.

ISO 9000 Quality Management systems - Fundamentals and vocabulary
ISO/IEC 17000 Conformity assessment – Vocabulary and general principles
ISO/IEC 17021-1 Conformity assessment - Requirements for bodies providing audit and certification of management systems
ISO/IEC 27006 Information technology -- Security techniques -- Requirements for bodies providing audit and certification of information security management systems
ISO/IEC 27000 Information technology — Security techniques — Information security management systems — Overview and vocabulary
ISO/IEC 27001 Information technology — Security techniques — Information security management systems — Requirements
ISO/TS 22003 Food safety management systems -- Requirements for bodies providing audit and certification of food safety management systems
ISO 22000 Food safety management systems -- Requirements for any organization in the food chain

D. Terms and definitions

For the purposes of this procedure, the terms and definitions provided in ISO/IEC 17021-1 and the above mentioned references are applied.

E. Revision History

Revision 00 was approved by Sigmacert on 1st October 2016 to ensure conformity with applicable requirements.

Revision 01 was approved by Sigmacert on 3rd May 2016 by changing what audit report should include and audit time needed calculation.

Revision 02 was approved by Sigmacert on 26th July 2017 by adding sub-clause of 3.3.11, 2.3 and "Scope of certification is reviewed that it shall be specifying the type of products." to 1.2.2.

Revision 03 was approved by Sigmacert on 6th September 2018 to ensure conformity with applicable requirements.

Revision 04 was approved by Sigmacert on 11th August 2020 to ensure conformity with applicable requirements.

Revision 06 was approved by Sigmacert 29th May 2021 to the process of registering certificates to the IAF cert search database.

F. Related Documents

YS.FR.001 Certification Agreement
YS.FR.004 Certification Application Form
YS.FR.005 Audit Plan
YS.FR.006 Audit Report
YS.FR.007 Nonconformity Form
YS.FR.009 Application Review Form
YS.FR.010 Offer Form
YS.FR.011 Audit Team Allocation Form
YS.FR.037 Certificates List
YS.FR.055 Certification Audit Review and Decision Form
YS.FR.060 Certification Transfer Form
YS.FR.061 Suspension/Withdrawal Letter
YS.FR.062 Reinstate Letter
YS.FR.065 Certificate Template
YS.FR.067 ISO 9001 Audit checklist
YS.FR.068 ISO 14001 Audit checklist
YS.FR.069 ISO 22000 Audit checklist
YS.FR.070 ISO 27001 Audit checklist
YS.FR.071 Surveillance/Recertification Audit Planning Form
YS.PR.02 Impartiality Procedure
YS.PR.10 Personnel Competency, Performance Evaluation and Training Procedure
YS.T.01 Instruction for Pricing of Certification
YS.PR.11 Remote Audit Procedure
YS.PR.12 Extraordinary Situation Management Procedure
MSCB-AC477 Accreditation Criteria For Management System Certification Bodies

Part 1: Applications, Application Reviews, Offers and Agreements

1.1 Applications

1.1.1 When Sigmacert receives certification request through phone/e-mail etc. Operation Manager sends YS.FR.004 Certification Application Form to applicant client.

1.1.2 If the applicant client has no IT capacity, the above mentioned documents are sent in printable form.

1.1.3 The applicant client is requested to fill and send back YS.FR.004 Certification Application Form to Sigmacert through e-mail.

1.2 Application Reviews

1.2.1 When the filled application form is received, Operation Manager assesses application according to site(s) acting in the operation, scope, processes or activities performed by the applicant client, including participating sites of multisite or group certificates and contractors, applicable Management system normative document(s) against which these processes or activities are audited. This assessment is recorded on YS.FR.009 Application Review Form.

1.2.2 If Operation Manager is not competent for EA code/Category/etc. of application scope, a competent technical reviewer will assist Operation Manager (notwithstanding the risk group of application scope). Scope of certification is reviewed that it shall be specifying the type of products.

1.2.3 If there is any missing or unclear information on YS.FR.004 Certification Application Form, discussions and/or correspondence are also used to identify any missing points and differences in understanding between Sigmacert and the applicant client, to confirm scope and to assess whether Sigmacert has the capability and expertise to carry out the service requested. Scope of certification is reviewed that it shall be specifying the type of products.

1.2.4 The auditing time needed to accomplish each evaluation (certification, re-certification, surveillance) of the client's Management system, covering the requirements that are applicable to the scope of the certificate is calculated according to YS.T.03 Audit Time Calculation Instruction and recorded on YS.FR.009 Application Review Form.

1.2.5 If Operation Manager decides that there is any threat for impartiality, conflict of interest according to YS.PR.02 Impartiality Procedure or Sigmacert doesn't have the capability and expertise to carry out the service requested, Sigmacert denies certification to the applicant client. It's informed to the applicant client by e-mail including clear reasons of deny.

1.3 Offers

1.3.1 Operation Manager prepares a certification offer on YS.FR.010 Offer Form according the application review results and YS.T.01 Pricing Instruction.

1.3.2 The offer is numbered as XXXX/YYY, that XXXX is the year of offer prepared and YYY is the consecutive number for related year. For example; the meaning of offer number 2016/003 is 3rd offer prepared in 2016.

1.3.3 Prepared offer is reviewed and approved by General Manager and sent to the applicant client by e-mail in only printable form by Operation Manager.

1.4 Agreements

1.4.1   If the client accepts the offer by signing and stamping on YS.FR.010 Offer Form, YS.FR.001 Management system Certification Agreement are sent to the client by Operation Manager.

1.4.2   It's waited to receive signed and stamped YS.FR.001 Certification Agreement from the client. Any audit planning is not done before the mentioned agreement is sent fully signed and stamped.

1.4.2   On receipt of signed and stamped YS.FR.001 Certification Agreement, it's signed by General Manager and sent back to client by e-mail.

Part 2: Audits

A Management system certificate issued by an Management system-accredited certification body provides a credible guarantee that all Management system operations within the scope of a certificate conform to all applicable requirements of the relevant Management system normative documents.

Sigmacert completes an analysis and description of the operational sites included in the scope of the evaluation, as well as the structures and systems in place for their management according to Part 2 of this procedure.

2.1 Audit Planning

2.1.1   After receipt of signed and stamped YS.FR.001 Certification Agreement, Operation Manager allocates audit team according to the client's required audit date(s) and audit team availability. It's recorded with audit date(s), sites, name(s) of audit team, scope of Management system system, applicable Management system normative document(s), outsourcer(s) if applicable on YS.FR.011 Audit Team Allocation Form.

2.1.2   The prepared YS.FR.011 Audit Team Allocation Form is sent to audit team member(s) by e-mail in only printable form by Operation Manager.

2.1.3   Audit team leader is selected on basis of competence requirements according to YS.PR.10 Personnel Competency, Performance Evaluation and Training Procedure, absence of conflict of interest, language/skills match of auditor with applicant, and geographical location is considered where possible.

2.1.4   Audit team leader prepares audit plan on YS.FR.005 Audit Plan in maximum 5 (five) days after YS.FR.011 Audit Team Allocation Form is received, and sends it to client.

2.1.5   Surveillance audits are carried out at least once in a calendar year, excluding years of recertification. The first surveillance date following the first certification is determined not to exceed 12 months after the certification decision date.

2.1.6   Sigmacert carries out a surveillance audit to monitor the organization's continued conformance to all applicable certification requirements at least annually.

2.1.7   The evaluation of corrective action to close major nonconformity may require on-site audits at shorter intervals.

2.1.8   For a certificate that has a three-year validity, at least two surveillance evaluations take place before the certificate expires.

2.1.9   In the context of surveillance, "annually" is to be interpreted as follows: at least once per calendar year, but not later than 12 months after the last evaluation (determined by the date of the onsite visit).

2.1.10   YS.FR.071 Surveillance/Recertification Audit Planning Form is used by Management system Operation Manager to review and determine if there is any change about the client, scope of certificate.

2.1.11   After YS.FR.071 Surveillance/Recertification Audit Planning Review Form is completed by Operation Manager and allocates audit team according to the client's required audit date(s) and audit team availability. It's recorded with audit date(s), sites, name(s) of audit team, scope of Management system system, applicable Management system normative document(s), outsourcer(s) if applicable on YS.FR.011 Audit Team Allocation Form. The prepared YS.FR.011 Audit Team Allocation Form is sent to audit team member(s) by e-mail in only printable form by Operation Manager.

2.1.12   Audit team for surveillance/recertification is selected on basis of competence requirements according to YS.PR.10 Personnel Competency, Performance Evaluation and Training Procedure, absence of conflict of interest, language/skills match of auditor with applicant, and geographical location is considered where possible.

2.1.13   Audit team leader prepares audit plan of surveillance/recertification audit on YS.FR.005 Audit Plan in maximum 5 (five) days after YS.FR.011 Audit Team Allocation Form is received, and sends it to client.

2.2 Audit team

2.2.1   An audit team always includes a qualified auditor and audit team leader.

2.2.2   Sigmacert ensures that no client is audited by the same auditor on more than three (3) consecutive audits. Where a client is audited by the same auditor on more than (3) consecutive audits, Sigmacert provides a justification why it was not possible, or feasible to rotate the auditor and demonstrates how an impartial and objective evidence based audit is ensured as recorded on YS.FR.071 Surveillance/Recertification Audit Planning Form.

2.3 Audit objectives

2.3.1   The audit objectives for Stage 1 audits of ISO 9001 Quality Management System and ISO 14001 Environmental Management System are as below:

a) to review the client's management system documented information;
b) to evaluate the client's site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for the stage 2;
c) to review the client's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;
d) to obtain necessary information regarding the scope of the management system including:
   -   the client's site(s);
   -   processes and equipment used;
   -   levels of controls established (particularly in case of multisite clients);
   -   applicable statutory and regulatory requirements and the status to conform to compliance obligations
e) to review the allocation of resources for stage 2 audit and agree the details of the stage 2 with the client;
f) to provide a focus for planning the stage 2 by gaining a sufficient understanding of the client's management system and site operations in the context of the management system standard or other normative document;
g) to evaluate if the internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for the stage 2

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2.3.2 The audit objectives for Stage 1 audits of ISO 27001 Information Security Management System are as defined above (2.3.1) and additionally to understand the design of the ISMS in the context of the client's organization, risk assessment and treatment (including the controls determined), information security policy and objectives.

2.3.3 The audit objectives for Stage 1 audits of ISO 22000 Food Safety Management System are defined above (2.3.1) and additionally to understand the FSMS in the context of the organisation's food safety hazard identification, analysis, HACCP plan and PRP's, policy and objectives.

2.3.4 The audit objectives for Stage 2 audits of ISO 9001 Quality Management System, ISO 14001 Environmental Management System and ISO 22000 Food Safety Management System are as below:

   a) evaluation the implementation, including effectiveness, of the client's management system,
   b) determination of the conformity of the client's management system, or parts of it, with audit criteria,
   c) determination of the ability of the management system to ensure the client organization meets applicable statutory, regulatory and contractual requirements,
   d) determination of the effectiveness of the management system to ensure the client can reasonably expect to achieving its specified objectives,
   e) as applicable, identification of areas for potential improvement of the management system

2.3.5 The audit objectives for Stage 2 audits of ISO 27001 Information Security Management System are as defined above (2.3.4) and additionally to confirm that the client adheres to its own policies, objectives and procedures.

2.3.6 The audit objectives for surveillance/re-certification audits of ISO 9001 Quality Management System, ISO 14001 Environmental Management System and ISO 22000 Food Safety Management System are as below:

   a) to confirm the continued relevance and applicability for the scope of certification.
   b) to confirm the continued ability of the management system to ensure the client organization meets applicable statutory, regulatory and contractual requirements,
   c) to confirm the continued the effectiveness of the management system to ensure the client can reasonably expect to achieving its specified objectives,
   d) as applicable, identification of areas for potential improvement of the management system

2.3.7 The audit objectives for surveillance/re-certification audits of ISO 27001 Information Security Management System are as defined above (2.3.4) and additionally to verify that the approved ISMS continues to be implemented, to consider the implications of changes to that system initiated as a result of changes in the client's operation and to confirm continued compliance with certification requirements.

2.4 Audit

2.4.1 The processes of a client are audited against the applicable requirements specified in the Management system normative documents through YS.FR.006 Audit Report and related standard checklist.

2.4.2 Sigmacert conducts audits for Management system certification in accordance with ISO 17021-1 and related normative documents.

2.4.3 Sigmacert completes an analysis of the organization's management control required to ensure that all applicable certification requirements are implemented over the full range of Management system operations, through YS.FR.006 Audit Report and YS.FR.067 Management system-ISO 9001

Audit checklist. If the scope includes other related standards, YS.FR.068 Management system-ISO 27001 Audit checklist, YS.FR.069 Management system-ISO 14001 Audit checklist and YS.FR.070 Management system-ISO 22000 Audit checklist are used.

2.4.4 Sigmacert controls the Management system trademark use by its clients, by auditing the trademark use at minimum at the time of the surveillance audit and re-evaluations.

2.4.5 The audit report includes following items;

Identification of Sigmacert,
the name and address of the client and the client's management representative;
the type of audit (e.g. initial, surveillance or recertification audit or special audits);
the audit criteria;
the audit objectives;
the audit scope, particularly identification of the organizational or functional units or processes audited and the time of the audit;
any deviation from the audit plan and their reasons
any significant issues impacting on the audit programme
identification of the audit team leader, audit team members and any accompanying persons;
the dates and places where the audit activities (on site or offsite, permanent or temporary sites) were conducted;
audit findings, reference to evidence and conclusions, consistent with the requirements of the type of audit;
significant changes, if any, that affect the management system of the client since the last audit took place
any unresolved issues, if identified.
where applicable, whether the audit is combined, joint or integrated;
a disclaimer statement indicating that auditing is based on a sampling process of the available information
Recommendation from the audit team
the audited client is effectively controlling the use of the certification documents and marks, if applicable;
Verification of effectiveness of taken corrective actions regarding previously identified non-conformities, if applicable
a statement on the conformity and the effectiveness of the management system together with a summary of the evidence relating to:
the capability of the management system to meet applicable requirements and the expected outcomes?;
the internal audit and management review process?
a conclusion on the appropriateness of the certification scope?
conformation that the audit objectives have been fulfilled?

2.5 Nonconformities

2.5.1 Sigmacert evaluates each nonconformity identified in the audit to determine whether it constitutes a minor or major nonconformity according to clause 2.8.3.

2.5.2 The auditor can also identify the early stages of a problem which does not yet constitute a nonconformity, but which the auditor considers may lead to a future nonconformity if not addressed by the client. Such observations are recorded in YS.FR.006 Audit Report as 'observations' for the benefit of the client.

2.5.3 Nonconformities are graded as below:

a) a nonconformity shall be considered minor if:
i. it is a temporary lapse, or
ii. it is unusual/non-systematic, or
iii. the impacts of the nonconformity are limited in their temporal and organizational scale, and
iv. it does not result in a fundamental failure to achieve the objective of the relevant requirement.

b) a nonconformity shall be considered major if, either alone or in combination with further nonconformities, it results in, or is likely to result in a fundamental failure to achieve the objective of the relevant requirement within the scope of the evaluation. Such fundamental failures may be indicated by nonconformities which:
i. continue over a long period of time, or
ii. are systematic, or
iii. affect a wide range of the production, or
iv. affect the integrity of the Management system system, or
v. are not corrected or adequately addressed by the client once they have been identified.

2.5.4 Nonconformities are transformed into corrective action requests on YS.FR.007 Nonconformity Form.

2.5.5 The auditor team presents the nonconformities during the audit closing meeting on YS.FR.007 Nonconformity Form and Sigmacert at latest informs the client of the final wording and with the submission of the finalized YS.FR.006 Audit Report to the client after the review of audit reports has been completed.

2.5.6 The corrective action request timelines commence from the moment when they are formally presented to the client and no later than three (3) months from the audit closing date. Corrective action requests have the following timeframes:

a) minor nonconformity shall be corrected within the maximum period of one (1) year;

b) major nonconformity shall be corrected within three (3) months.

2.5.7 Action(s) taken to correct a major nonconformity may continue over a period of time which is longer than three (3) months. However, action must be taken within the specified period which is sufficient to prevent new instances of nonconformity within the scope of the certification.

2.5.8 Audit team leader determines whether corrective action requests have been appropriately implemented within their timeframes on YS.FR.007 Nonconformity Form. If the action taken is not considered adequate, then:

a) minor nonconformity becomes major nonconformity and shall be corrected within a maximum period of three (3) months;

b) major nonconformity leads to immediate suspension of certification.

2.5.9   Major nonconformities are not downgraded to minor nonconformities.

2.5.10   Audit team informs the client if an additional on-site audit is required to verify that nonconformities have been corrected during the closing meeting.

2.5.11   All nonconformities identified by audit team are recorded on YS.FR.007 Nonconformity Form and related checklist.

2.5.12   For group and multisite evaluations, the specification of nonconformities distinguishes between central office level and participating-site level, where:

a) nonconformities at the central office level may be caused by:
i. failure to fulfil a central office responsibility, such as administration, internal inspection, record-keeping, trademark use, and others as required by the relevant Management system normative document(s);
ii. failure to ensure that participating sites conform to a corrective action request issued by Sigmacert or the central office;
iii. failure of sites to fulfil a responsibility, sufficient in number of sites, extent of the failure, and/or consequences, to demonstrate that central office control has broken down (e.g. where identical nonconformities identified by Sigmacert are issued to three or more participating sites during an evaluation, the corrective action request may be a result of ineffective training or support by the central office);

b) nonconformities at the participating-site level may be caused by:
i. failure to fulfil a responsibility, including but not limited to timely provision of adequate information, effective response to internal corrective actions, or correct trademark use;
ii. failure to meet the applicable requirements of the relevant Management system normative documents.

2.5.13   Nonconformities identified at the participating-site level may result in nonconformities at the central office level when the nonconformities are determined to be the result of the central office's performance.

Part 3: Actions after the audit

3.1 Review of audit reports

3.1.1   Sigmacert has assigned Management system Certification Manager to review all information and results related to the audit on YS.FR.055 Audit Review and Decision Form. The review is carried out by Certification Committee who have not been involved in the audit process.

3.1.2   Recommendations for a certification decision based on the review are documented on YS.FR.055 Audit Review and Decision Form, even if the review and the certification decision are completed concurrently by the same person.

3.2 Certification decision

3.2.1   Sigmacert only grants certification/recertification when its client:

a) conforms with the requirements of all applicable management system standard, which means that major or minor nonconformities are corrected before granting of certification and, major nonconformities are corrected before granting of recertification and minor nonconformities are corrected until the next surveillance audit's closing meeting. Open minor nonconformities do not prevent granting of recertification;

b)signed a certification agreement with Sigmacert.

3.2.2   Recertification is granted as the result of a re-evaluation.

3.2.3   Sigmacert only approves maintenance of certification when its client:

a) conforms and continues to conform with all Sigmacert's procedures for maintaining certification;
b) conforms with all Sigmacert's and Management system's requirements regarding claims, logos, certification marks or trademarks;
c) corrects any nonconformities with applicable Management system standard(s) within the maximum period specified by Sigmacert on clause 2.8;
d) continues to pay all specified fees and costs in a timely manner;
e) undergoes surveillance as determined by Sigmacert and as required by Management system.

3.2.4   Sigmacert is responsible for, and retains authority for, its decisions relating to certification.

3.2.5   Sigmacert has assigned Certification Committee as the certification decision making entity to make the certification decision based on all information related to the audit, its review, and any other relevant information, and to make the certification decision to continue, suspend or withdraw certification based on information collected from surveillance activities and their review. The member(s) of Certification Committee are the person(s) who have not been involved in the audit process according to YS.PR.02 Impartiality Procedure.

3.2.6   Certification Committee:

a) has clear rules for membership, including requirements for qualification, experience and impartiality on YS.PR.10 Personnel Competency, Performance Evaluation and Training Procedure, YS.PR.02 Impartiality Procedure and YS.GT.06 Certification Committee Member Job Description;

b) consists of one or more individuals, where none of these individuals have any conflicts of interest, in particular financial or other commercial interest in the outcome of the certification decision according to YS.PR.02 Impartiality Procedure;

c) does not include individuals who have taken part in the audit as audit team leaders, auditors or technical experts according to YS.PR.02 Impartiality Procedure.

3.2.7   Full member of certification committee is Certification Manager or Operation Manager. Other members attend to certification committee only if Certification Manager or Operation Manager does not have expertise about the scope of evaluation.

3.2.8   Certification committee makes certification decisions through YS.FR.055 Audit Documents Review and Decision Form based on evaluation of the Management system operation's conformity to each applicable requirement specified in the relevant Management system normative document(s) and in accordance with the latest version of ISO 17021-1.

3.2.9   Certification Manager communicates certification decisions to the client with Management system certificate (in the event of positive decision) in maximum timeline as after the main evaluation in six (6) months.

3.2.10   When communicating a negative certification decision Sigmacert provides the reasons for this decision on a Letter.

3.2.11   The occurrence of five (5) or more major nonconformities in a surveillance audit is considered as a breakdown of the clients' management system and certification is suspended within ten (10) days of the certification decision being taken.

3.2.12 Five or more major corrective action requests issued to the central office of a group or multisite by audit team result in the suspension of the entire certificate. Five or more major corrective action requests issued to a participating site of a group or multisite certificate by audit team result in suspension of that particular participating site but will not necessarily result in the suspension of the entire certificate.

3.2.12 Management system certification committee records the certification decision to maintain certification for each surveillance evaluation on YS.FR.055 Audit Documents Review and Decision Form.

3.2.13 A certification decision is taken for the organization that has direct management responsibility for the Management system under its control.

3.3 Issue of certificates

3.3.1 The period of validity of Management system certification is three (3) years.

3.3.2 Sigmacert registers the certification status in YS.FR.037 Certificates List.

3.3.3 Management system Certification Manager is responsible for keeping its data entries accurate and up-to-date.

3.3.4 A certificate only is issued after a positive certification decision has been taken by Certification Committee according to clause 3.2 by Certification Manager through YS.FR.055 Audit Documents Review and Decision Form and after it has been registered in the Management system certification database according to clause 3.3.3.

3.3.5 All Management system certificates issued by Sigmacert within the scope of its Management system accreditation include the followings on YS.FR.065 Certificate Template:

a) accreditation logo, which is no bigger than the logo of Sigmacert;

b) the name and address of Sigmacert;

c) the legal name and registered address of the client;

d) the date of issue of the certification;

e) the date of expiry of the certification;

f) an issue number (for re-issued or renewed certificates);

g) the signature of General Manager or Operation Manager;

3.3.6 For reasons of clarity Sigmacert does not use the same code number for valid certifications granted to different legal entities.

3.3.7 Any wording, including the claim of conformity, to be included on certificates in addition to the information as required in clause 3.3.7 is subject to prior written approval by Management system.

3.3.8 The issued certificates are recorded on YS.FR.037 Management system Certificates List by Management system Certification Manager.

3.3.9 ISO/IEC 27001 Information Security Management System certificates include the code and valid version date of certified company's statement of applicability.

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3.5 Suspension, withdrawal and reinstate of certificates

3.5.1   In the event that Sigmacert suspends or withdraws certification, Certification Manager updates the certification status in the certification database, together with the effective date and reason of suspension or withdrawal within three (3) days of the suspension or withdrawal.

3.5.2   Sigmacert suspends certification at latest three (3) months after the closing meeting of a surveillance audit, if a certification decision to maintain the certification cannot be taken due to circumstances beyond the control of Sigmacert.

3.5.3   Circumstances beyond the control of Sigmacert may include, but are not limited to;

- the client or other parties preventing the use of audit findings,
- the delayed or declined acceptance of audit findings or the audit report by the client.

3.5.4   Sigmacert issues YS.FR.061 Suspension/Withdrawal Letter to clients whose certification has been suspended or withdrawn. YS.FR.061 Suspension/Withdrawal Letter includes:

a) a clear statement about the invalid status of certification (suspended, or withdrawn);
b) the date from which the invalid status of certification is official;
c) the rationale supporting the invalid status of certification which includes, but is not limited to, the details of the breach of the certification agreement and the demonstration of nonconformities with applicable certification requirements;
d) the requirement to withdraw all uses of the Management system trademarks;
e) the requirement to stop making Management system claims;
f) in the case of suspended certification, the information that the maximum duration of suspension is three (3) months and after this period, the certification will be withdrawn.

3.5.5   Certification Manager sends the letter by e-mail including request a read receipt and keeps the evidence that the client has received the letter of notification by printscreening into clients folder in server.

3.5.6   Sigmacert may reinstate certification after suspension if all major nonconformities have been corrected. Certification Manager sends YS.FR.062 Reinstate Letter to client by e-mail including request a read receipt.

3.5.7   If certification is reinstated after suspension or if the certification scope is reduced as a condition of reinstatement, Certification Manager makes all necessary modifications to formal certification documents, public information and authorizations for use of Management system trademarks according to clause 3.3.

Part 4: Transfer of Management system certificates and License agreements

4.1 Fundamental principles for a transfer of certificates

4.2.1   Management system certificates can only be transferred once within 3-year's period of validity of a certificate. If a client whishes to change certification body more than once within the 3-year's period, a full Management system certification evaluation takes place by Sigmacert.

4.2.2   Management system certificates cannot be transferred in the following situations:

a) The certificate is suspended;
b) Majors nonconformities have not been closed (they need to closed to the satisfaction of the preceding certification body before the certificate can be transferred);
c) The parties involved in the transfer, which are the client, Management system, the preceding certification body and Sigmacert cannot agree on the transfer date;

d) Relevant documentation about the certificate holder (certificate, records, history of nonconformities) is not being made available to Sigmacert.

e) The certificate is not accredited by accreditation body under IAF.

If Sigmacert is able to receive all relevant documentation from the certificate holder directly, a transfer of documentation according to clause 4.2.2 d) is not required.

4.3 Steps of transfer

4.3.1   If the holder of an active certificate applies for tranfer certification through YS.FR.004 Certification Application Form, the holder is required to fill YS.FR.060 Certification Transfer Form.

4.3.2   Certification Manager reviews the application through YS.FR.009 Application Review Form and YS.FR.060 Certification Transfer Form.

4.3.3   The holder of an active certificate (i.e. a certificate that is not suspended, withdrawn, terminated or expired) should inform their current certification body that they are applying for a certificate transfer with Sigmacert.

4.3.4   If the client of Sigmacert applies to another certification body to transfer Management system certificate, the client is required to send information to Sigmacert that they are applying for a certificate transfer with another certification body. Sigmacert supplies all necesaary information and records to client and the succeeding certification body.

4.3.5   The transfer of a certificate is conducted as follows:

- The period of validity of an Management system certificate is not exceed three years. Thus, the expiry date of the succeeding certificate is the same as the expiry date of the preceding certificate;
- The scope of the succeeding certificate is the same as the scope of the preceding certificate. If the certificate holder is requesting a change in scope, Sigmacert evaluates this request in line with relevant requirements;
- All minor corrective action requests that are applicable to the preceding certificate remains applicable to the succeeding certificate, and are evaluated by Sigmacert during the first audit executed by Sigmacert;
- Sigmacert carries out a transfer audit within three (3) months of the agreed transfer date according to the requirements for a surveillance evaluation as outlined in clause 2.3 respectively. This audit includes a review all pending minor CARs which were issued by the preceding certification body.

Part 5: Remote Audits

Remote auditd are defined in the relevant procedure YS.PR.11 Remote Audit Procedure.

Part 6: IAF Cert Search Database

The certified clients include in the IAF CERTSEARCH database including meeting the requirements stated in the IAS Rules of Procedure (MSCB) on the use of the IAF CERTSEARCH Mark.

Sertifikalandırılan müşterilere ait bilgilerin girişleri SİGMACERT tarafından 'IAF CERTSEARCH database'e belge basımı takip eden ilk hafta yapılır.