

CERTIFICATION BODY

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Bucharest, March 7th, 2018

CERTIND POLICY ON CONDITIONAL GRANTING/ MAINTAINING A CERTIFICATION AND CHANGE IN CONDITIONS IN WHICH CERTIFICATION WAS GRANTED

1. Method for granting/ maintaining the certification, in the conditions in which the organization requesting the certification of its management system **does not comply with the legal or regulatory requirements**

Under these conditions, it is assessed the documentation and implementation of the management system and the ability of the organization to demonstrate the necessary compliance by drawing up a compliance plan that includes the necessary measures with terms and responsibilities. Exceptions from this rule are organizations for which the lack of authorizations conditions the placing of the products/ services on the market and in this case the certification for the respective activities is not granted.

If the organization that applied for certification does not yet hold the authorizations that condition the performance of its activity, the lead auditor performing the initial certification audit must document this in the Stage 1 audit report, and in the Stage 2 Audit Report he will propose conditional granting of certification and the proposed period for carrying out the next scheduled audit.

The same is true for organizations that have obtained the certification of the management system and which can no longer comply with the legal requirements due to the fact that they no longer have the authorizations that condition the conduct of the activity. And in this case the lead auditor should document this in the audit report and propose the period for the next planned audit to be carried out.

Conditional granting/ maintaining of a certification can be done for a **maximum period of 9 months** if the client does not hold/ no longer holds the authorizations that condition the conduct of their activity, but has presented evidence that he has previously carried out such activities and has taken actions to obtain necessary authorizations or has documented a compliance plan with measures, deadlines and responsibilities for obtaining the necessary authorizations according to the laws in force.

2. Method of granting the certification in the conditions in which the organization requesting the certification of its management system **has no activity in progress**

Under these conditions, it is assessed the documentation and implementation of the management system and the ability of the organization to demonstrate the necessary compliance with specific requirements using as audit methods analysis of records and interviews with personnel. The organization must demonstrate that it has at least one contract for the supply of products/ services in the area for which it has no activity in progress. The lead auditor will record in the audit report that the organization at the time of the audit had no activity and will propose conditional certification for this area.

Conditional granting/ maintaining of a certification can be done for a **maximum period of 9 months** and will be recorded in the audit report for the next planned surveillance audit.

CERTIND S.A.

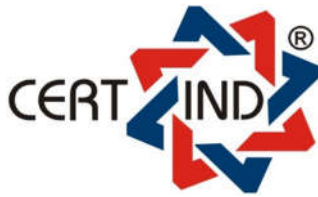
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www.certind.ro

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3. Method of operating changes requested by CERTIND customers following the change of the conditions in which the certification was granted

Once the certification process is finalized, the client who obtained the certification has the contractual obligation to announce CERTIND as soon as possible of any changes in the conditions in which it was certified, namely: legal, commercial, organizational or property status; organization and management (for example key managerial, decision-making or technical personnel); contact address and locations; scope of the certified management system; major changes to the management system and processes.

Following the receipt of a written notification from its client, CERTIND decides on actions taken so as to ensure that the organization continues to meet the requirements of the standard(s) against which certification was granted. Depending on the nature and extent of the changes, CERTIND will determine the type and extent of the audit(s) needed to obtain additional evidence to support maintaining the certification conditions.

4. Changing the name of the organization (legal entity)

In case the name of the certified organization changes, all other elements of identification and organizational conditions remaining unchanged (address of the registered office/ secondary locations, unique registration code, shareholding structure, organizational chart, key personnel, etc.), the organization has the contractual obligation to notify CERTIND, in writing, and to send the documents through which it can support the change. In these conditions, the General Manager of CERTIND will take the decision of certification for the new name of the organization, all other conditions in which the certification was granted remaining unchanged (surveillance program).

The newly issued certificate will keep the identification number and the validity term of the old certificate.

5. Changing the address of the registered office/ secondary location(s)

In case of changes of the address of registered office/ secondary location(s), the organization has the contractual obligation to notify CERTIND, in writing, and to send the documents through which it can support the change.

CERTIND will analyse the documents/ records received from the client and depending on the activities carried out in the new address, a decision will be made if an unscheduled audit is necessary or the General Manager of CERTIND will take the decision of granting a certification in the new conditions.

The newly issued certificate will keep the identification number and the validity term of the old certificate.

General Manager
CERTIND SA
Violeta Sergentu



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