



Registered Office: Via Oddone Scarito, 44 – Borgo Maggiore – San Marino

CERTIFICATION REGULATIONS

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Summary

1. COMPANY OVERVIEW	4
2. PURPOSE AND SCOPE.....	4
3. REFERENCES	5
4. PRIORITY OF VALIDITY	6
5. TERMS AND DEFINITIONS.....	6
6. GENERAL CONDITIONS	7
7. DUTIES AND RIGHTS	7
7.1 Duties of the Organization	7
7.2 Rights of the Organisation.....	9
7.3 Duties of Autenticert.....	9
7.4 Rights of Autenticert	10
8. CERTIFICATION PROCEDURE	11
8.1 Application for Certification	11
8.2 Return of the offer and order confirmation.....	12
8.3 Changes to the Agreement	12
8.4 Preliminary Audit.....	12
8.5 Audit Planning	12
8.6 Initial Certification Audit	13
Step 1	13
Stage 2 (Management System Audit).....	14
9. ISSUANCE OF THE CERTIFICATE OF CONFORMITY	15
9.1 Technical Resolution Function (Resolution Committee)	15
9.2 Function of Impartiality, Direction and Supervision of Certification Activities.....	16
9.3 Publication and Information to the outside world	17
10 SURVEILLANCE ACTIVITIES (STANDARD AND SUPPLEMENTAL).....	19
10.1 Surveillance Audits	19
10.2 Maintaining Certification.....	19
10.3 Additional Audits	20
11. RENEWAL OF CERTIFICATION	20
11.1 Audit Planning Certification Renewal	20
11.2 Renewal Audit	21
11.3 Information for the Issuance of Certification Renewal	21
12. SPECIAL AUDITS.....	22
12.1 Extension of the scope	22
12.2 Short-notice audits.....	22
12.3 Market Surveillance.....	23
12.4 Mystery Audit.....	23
13. SUSPENSION, REVOCATION OR REDUCTION OF THE SCOPE OF CERTIFICATION	23
13.1 Suspension of Certification	23
13.2 Revocation.....	24
13.3 Reduction	25
13.4 Waiver of Certification	26
14. CERTIFICATION CHANGES	26

14.1 Notification of Changes to the Standards for the Certification of Management Systems by Autenticert	26
14.2 Notification of Changes to the Rules by Autenticert	26
14.3 Notification of Changes Made by the Certified Organization.....	26
15. TRANSFER OF CERTIFICATIONS	27
16. FEES AND PAYMENT TERMS.....	28
16.1 Fees	28
16.2 Terms of payment	29
17. USE OF THE MARK AND CERTIFICATE.....	29
18. CONFIDENTIALITY	29
19. APPEALS, COMPLAINTS AND LITIGATION.....	30
19.1 Appeals.....	30
19.2 Complaints and reports.....	30
19.3 Litigation.....	31
20. HANDLING OF SPECIAL CASES	32
20.1 Sale of Business Units.....	32
20.2 Contribution of the company in its entirety	32
20.3 Minor changes to certification	32

1. COMPANY OVERVIEW

Autenticert is a Certification Body that operates according to the general criteria defined by the Standards of the UNI CEI EN ISO/IEC 17021 Series, as an independent Body, it provides the requesting Organizations with assessment and certification services of compliance of their Management Systems with the requirements of the reference Standards.

The legal status of the company is described in the Articles of Association.

2. PURPOSE AND SCOPE

These Regulations define the conditions that an applicant must meet in order to obtain/maintain the certification issued by Autenticert, specifying the requirements.

The aim is to ensure that:

- access to certification is open to all those who request it in compliance with these Regulations, without discriminatory policies or procedures being applied to prevent or limit access to certification. In particular, in order to avoid discrimination of a financial and economic nature or relating to the size of the Organization or membership of particular associations, Autenticert uses Mod 14 "Tariff" in which the economic conditions applied are described. This document is subject to verification by the Impartiality Committee (which will be discussed briefly in § 9.3 below) to guarantee non-discriminatory and impartial policies and strategies;
- the criteria by which the management systems of the Organizations are evaluated are clearly defined. In cases where, due to the particular characteristics of the sector or the product/service provided by the Organization, clarifications regarding the application of the rules are necessary, these are formulated by a Deliveration Committee composed of experts and supervised by the Committee for the Safeguarding of Impartiality.

The Certificate is the document with which the company certifies that the applicant Organization operates with a Management System that complies with a reference Standard.

Autenticert does not provide assistance to Organizations for the implementation and maintenance of management systems, therefore it does not offer or provide consulting services of any kind, including internal auditing services, nor does it have any related structures that carry out such activity. In this regard, Autenticert expressly declares that it disavows the activity of subjects who advertise its services as such as to facilitate the achievement of its certifications or as related to the certification activity and undertakes to prosecute, in the ways it deems most appropriate, conduct of this kind carried out by natural and/or legal persons of which it is in any way aware, It also does not advertise any company's services and/or products. Finally, Autenticert has no connections to any consulting firms; the use of external auditors belonging to or owners of consulting firms is taken into account within Mod 15 Risk Analysis and Assessment and kept under control by making them, as well as all internal/external staff (including Committees), sign a precise commitment to confidentiality, absence of conflicts of interest and absence of relations with the Organization to be verified, before and after three years. The Impartiality Committee supervises the application of these Regulations. It is composed of members appointed by bodies representing the parties involved in the certification so as to ensure the impartiality of the judgment without the predominance of individual interests (see § 9.3).

Autenticert is a Limited Liability Company, therefore it can assume legal responsibilities for all its activities and draws its sources of funding from the performance of the activities provided for by the Articles of Association which in particular, are:

- Certification of management systems
- Auditor training courses

These sources of income guarantee the functioning of the Institution. They are reported annually on the company's financial statements. In addition, in order to ensure the adequacy of resources for the operation of the certification scheme, CEO prepares a three-year plan that highlights:

- Projection Turnover Certification;
- potential for the development of certification activities;
- human resources potentially involved;
- means potentially necessary;
- Economic Evaluation
-

This development plan is submitted to the Impartiality Committee, which verifies its compatibility and acceptability with respect to the requirements of impartiality and independence.

Finally, with the aim of ensuring greater protection for applicants, Utenticert has taken out insurance for civil liability resulting from the assessment and certification activities carried out by both employees and collaborators in various capacities.

For the purpose of correct information to the market, Autenticert makes publicly accessible, on the website shown at the bottom of the page and, provides, upon request:

- these Regulations;
- Company Policy;
- the Regulations for the use of the Trademark;
- Request for Quotation Template
- Information related to certification activities;
- certification schemes;

All the information reported on the Autenticert website is managed in a controlled manner and the veracity of the data is periodically verified.

3. REFERENCES

The regulatory references in the latest applicable revision, to be considered for the application of this procedure are:

UNI CEI EN ISO/IEC 17021-1: Conformity assessment - Requirements for bodies providing audits and certification of management systems - Part 1: Requirements

UNI CEI CEN/CLC ISO/IEC TS 17021-2: Conformity assessment - Requirements for bodies providing audits and certification of management systems - Part 2: Competence requirements for audit activities and certification of environmental management systems

UNI CEI EN ISO/IEC 17021-3: Conformity assessment - Requirements for bodies providing audits and certification of management systems - Part 3: Competence requirements for audit activities and certification of quality management systems

UNI CEI ISO/IEC TS 17021-9: Conformity assessment - Requirements for bodies providing audits and certification of management systems - Part 9: Competence requirements for audit activities and certification of management systems for the prevention of corruption

IAF MD1

IAF MD2

IAF MD3

IAF MD4

IAF MD5
IAF MD 11
IAF MD 12
IAF MD 17
UNI EN ISO 9001
UNI EN ISO 14001
UNI EN ISO 45001
UNI EN ISO 19011
UNI CEI EN ISO/IEC 17000: Conformity assessment - Vocabulary and general principles

For the complete list of references, please refer to Mod 01 "List of External Documents"

4. PRIORITY OF VALIDITY

In the event of a different interpretation, the following shall apply in order:

- EU Regulation;
- national legislation;
- regional legislation;
- local legislation;
- EN standards (applied according to EA/IAF) and/or ISO/IEC (applied according to EA/IAF);
- ISO/IEC guides, national standards

5. TERMS AND DEFINITIONS

The definitions relating to the terms used for the activities concerning the certification of Management Systems are those reported in the relevant reference standards, with the following clarifications:

- **Organization:** A term used to refer to the company that provides a product or service.
- **Surveillance:** Activity through which the Body verifies the maintenance of the compliance of the Management System with the specified requirements.
- **Evaluation:** Activity through which the Body ensures that the Organization operates in accordance with the reference Management System model.
- **Additional Audits:** Activity that may be necessary to ensure the implementation and effectiveness of the corrective actions proposed by the Organization, the review of the file.
- **Audit Group.**

Classification of reliefs:

Serious or major Non-Conformity : these are situations such that there is a serious deficiency of the Management System and/or a reduction in the Organization's ability to ensure controls of the processes and/or of the product manufactured and/or of the service provided; the failure to MEET ONE OR MORE REQUIREMENTS of the system and/or of this regulation; situations that may lead to the provision of services that do not comply with the requirements and/or laws relating to them Applicable; complete absence and/or non-consideration of one or more system requirements;

Minor Non-Conformity: these are situations in which there is a substantial deficiency of the Management System which, in any case, does not lead to an obvious uncontrolled situation of the processes and/or the product manufactured and/or the services provided; the partial failure to comply with one or more system requirements and/or these regulations; partial and/or limited consideration of one or more system requirements.

Observation: these are situations that may generate doubts about the fulfilment of secondary requirements (formal, interpretation of the relevant legislation and/or in the formalization of registrations), such as not to generate doubts about the Organization's ability to ensure process controls and/or to provide a product/service that complies with the requirements; in the opinion of the Evaluator, they deserve greater attention because, if not properly managed, they can

degenerate into a situation of non-compliance; although they do not show a substantial defect with respect to the system requirements, they can still influence the efficiency of the system and can be considered as ideas for improvement activities of the Organization's Management System. An observation that is not closed at the next periodic review is reclassified as a Non-Conformity.

6. GENERAL CONDITIONS

In order to activate the certification process, the Organization must:

- accept these Regulations;
- have carried out at least one management review and a full internal audit of all processes and/or activities
- have no ongoing legal proceedings or final convictions for product liability;
- the certification and its maintenance (see § 9, 10 and 11) are subject to the regular payment of the amounts defined in the Offer.

By accepting these Regulations, the Organization agrees that:

- Autenticert cannot be held liable for damages to third parties caused by its business or products/services and/or for violations of legal obligations;
- the activities carried out by Autenticert with regard to the certification of the Quality Management System are in no way alternative to those undertaken by the public authorities;
- No liability can be held against Autenticert in the event of non-communication or incomplete communication of data and information, as well as in the event that they do not correspond to the real business situation.

7. DUTIES AND RIGHTS

7.1 Duties of the Organization

7.1.1 General Duties

Given that certification by Autenticert does not imply a decrease in the Organization's liability with respect to its contractual obligations with its Customers or with respect to the laws applicable to the product/service offered, the Organization requesting certification must:

1. accept what is indicated in these Regulations;
2. comply with the provisions of these Regulations and any subsequent revision thereof sent by Autenticert;
3. comply with mandatory laws and regulations for the purposes of product requirements;
4. specify in the Manual (if any) the scope of application of the management system, the excluded requirements with the related reasons and the processes outsourced;
5. allow, during the period of validity of the contract, the performance of audits at the most significant time for the activity to be certified and/or certified;
6. operate in accordance with the requirements of the certification and within the framework of the management system described in the documentation approved by Autenticert;
7. provide and keep up to date all documentation requested by Autenticert;
8. inform Autenticert in advance in writing of transfers of ownership, changes of addresses, opening of new offices, changes of company name and in any case of any change in the data indicated in the Information Questionnaire which, once completed and signed by the Organization, has the value of an Application for Certification;

9. it is mandatory to accept the presence of the inspectors of the PAC at their premises, under penalty of suspension/withdrawal of the certification; in this circumstance, the client undertakes to confirm to PAC the information concerning the CAB and that PAC may request during or after the verification;
10. notify Autenticert in advance of your intention to modify the management system and therefore the Manual (if any). Any changes to the management system may be purely formal, such as changes in telephone or fax numbers, or substantial, such as:
 11. organizational changes (number of employees), changes in operating methods, management system and processes;
 12. extension/reduction of the quality management system to new products/services or new production units;
 13. amendment of the relevant legislation;
 14. changes related to legal and commercial aspects, change of legal and/or operational headquarters, contact addresses and websites, company name, company type, changes of ownership.
 15. communicate the applicable voluntary and mandatory legislation;
 16. make and keep the products/services compliant with all legal and mandatory requirements applicable to the sector;
 17. promptly notify Autenticert of any discrepancies detected by any Supervisory Authority, as well as any suspension or revocation of authorisations, concessions, etc., relating to the subject of the certification;
 18. immediately communicate and keep Autenticert updated, under penalty of revocation of the certification, about any ongoing judicial and/or administrative proceedings concerning the subject of the certification, without prejudice to the limits imposed by law. In this regard, Autenticert will communicate this information to the Impartiality Committee;
 19. A certified or certified organization must promptly inform its CB when it is involved in any critical situation that could compromise the guarantee of the certification of the system (e.g. news of public interest, crisis or involvement in some judicial proceeding for corruption or similar phenomena). Likewise, the organization must promptly notify the CB of any event relating to corruption that may have involved one or more of its Human Resources, and the consequent actions taken to contain the effects of such event, the analysis of the root causes, and the related corrective actions.
 20. provide the names of the consultants who have designed, implemented and maintained the management system;
 21. ensure the completeness and truthfulness of the documents and information made available to Autenticert's auditors;
 22. accept, at its expense, any additional surveillance audits that may be necessary (see §10.3);
 23. comply with the requirements regarding the registration of complaints and confidentiality;
 24. allow audits at short notice, in the cases provided for in § 12.2 of these Regulations.

In cases 8) and 9) the Organization holding the certificate is required to formally notify Autenticert of the changes it intends to make.

After evaluation, Utenticert will authorize the changes or provide guidance on how to proceed. Based on the information received, it will assess whether:

- the changes made do not affect the certification conditions and therefore reserves the right to check compliance with the reference standards during the first periodic surveillance visit;
- the changes made alter the certification conditions and therefore require an additional assessment or surveillance audit to be carried out;
- The changes made are of such magnitude that they require a new certification of the system (see paragraphs 14 and 20 below for details).

7.1.2 Duties Relating to the Use of Certification and Autenticert Marks

The Organization is required to use the mark and the certificate in accordance with the requirements defined in Reg. 05 "Regulations for the use of the trademark" available on the website.

The mark is the exclusive property of Autenticert and its use is prohibited without explicit authorization (granted with the letter of sending the certificate).

7.1.3 Audit Duties

The Organization requesting certification must:

guarantee the safe access of Autenticert auditors to all company areas where processes relevant to the subject of the certification are carried out and allow the interview of its personnel involved. In the absence of mandatory provisions, the client undertakes to provide complete and detailed information on the specific risks of the environment in which Autenticert's auditors must operate;

guarantee access to Autenticert personnel in training and supervision;

implement, on time, the corrections/corrective actions decided to remove the effects/causes of non-conformities.

the Organization shall keep an orderly record of the complaints received, as well as the actions taken to correct the causes that motivated such complaints. Autenticert has the right to access individual complaints, consult them and assess their correct handling.

7.2 Rights of the Organisation

The Organization in possession of the certification:

has the right to publicise the certification and use the certification mark in the manner it deems most appropriate (on its letterhead, in its own catalogues, advertising material, etc.) as long as it complies with the requirements of the Regulations for the use of the mark, always referring to the certification of the management system and the limits of the certification obtained;

can express an opinion on the degree of satisfaction with the service received from Autenticert and communicate in writing any complaints that will be used to activate service improvement processes;

may request the replacement of Autenticert's auditors if there are justified conflicts of interest, by notifying Autenticert in writing within the time limits established by the official communication of the audit date;

may make reservations to the content of the findings found during the audit by notifying Autenticert in writing;

It may require that basic information be available on each member of the audit team.

7.3 Duties of Autenticert

Autenticert has the duty to:

- entrust audits by means of a written contract and this must contain a precise constraint that excludes that such persons may have provided consultancy activities – or carried out any other activity that is a source of potential conflict of interest – with regard to the Organisations being audited;
- keep all the documentation of its management system up to date, with particular reference to the documents intended for the certification customers;
- ensure the non-existence of formal relationships with consulting firms or individual consultants, having as their object the promotion and marketing of certification services;
- not to promote in the most absolute manner to the applicant Organizations, its auditors or inspectors as consultants, nor to use such auditors and inspectors in any function other than pure evaluation or other permitted activity;
- formally prepare and implement an annual program (complete with responsibilities, activities, times, resources and quantifiable objectives) to improve the quality of the products/services provided to customers. The final balance must report, through quantified and controlled

indicators, the objectives achieved and deviations from the planned objectives with the related corrective actions taken;

- define and implement a procedure for the systematic analysis of reports and complaints from the market, both at the expense of its own work and at the expense of certified subjects, which requires that a clear and exhaustive response be always provided to the complainant. This analysis must have the objective of identifying any deficiencies in the system, product, person, with respect to the regulatory references of certification, in order to intervene with the entities concerned, to obtain the corrections and corrective and preventive actions required;
- raise awareness among those in possession of certifications issued by it on the importance of pro-active complaint management and the need to pursue improvement objectives using quantified and controllable indicators to improve the quality of its processes, products and/or services;
- verify that the customer knows and is able to manage all the mandatory aspects related to the management system;
- promptly inform the customer of any waiver/suspension in which his certification falls and support him if he intends to move to another body;
- ensure that during audits at the Organization, its auditors, as far as possible, work separately in order to maximize the use of audit time. Any technical experts may not conduct inspections independently;
- communicate, if officially informed, through official documents, to the Committee for the Safeguarding of Impartiality the cases in which Certified Organizations are involved in legal proceedings resulting from the laws on product liability or violations of laws concerning the products supplied and/or the services provided or in any case relating to the management systems subject to certification;
- unless otherwise specified, avoid the disclosure to third parties of information relating to the Organisation without the written consent of the latter and, in any case, guarantee the correctness of the processing of data relating to the activities carried out by the client in accordance with the regulations in force, in compliance with the provisions of § 18 of these Regulations;
- communicate to the Competent Authority, where required/applicable, the status of the certification;
- ensure, in the event of cessation of activity (due to bankruptcy, liquidation or dissolution of Autenticert), the fulfilment of the obligations related to the protection of the rights and interests of the certified entities, favouring the transfer of the certifications to another accredited body.
- If it learns, directly from the organization or from other sources, that the same organization is implicated with profiles of responsibility in some scandal or in some judicial proceeding for corruption, it will have to promptly conduct specific evaluations/in-depth investigations. In these cases, it is recommended to inform the market that such an organization is "subject to evaluation for specific events" (without prejudice to legal obligations and regulated markets – e.g. stock exchange). Once the analysis has been completed, the CB will be able to adopt the usual measures (e.g. closure of the assessment with archiving, adoption of the measures provided for by the certification regulations, strengthening of inspection activities), defined according to the adequacy of the response and the strategies adopted by the organization.

7.4 Rights of Autenticert

Autenticert reserves the right to:

- verify, during the validity of the contract, that the Organization complies with the general requirements for certification;
- prevent erroneous information on facilitated procedures relating to the issuance of certifications by Autenticert from being advertised by third parties and intervene in the event that situations of this type occur;

- use, in addition to the auditors employed by Autenticert itself, personnel belonging to Inspection Bodies or freelancers to carry out audits, provided that they are registered in the appropriate List, in which only auditors compliant with the requirements of the UNI CEI EN ISO/IEC 17021 and UNI EN ISO 19011 standards are registered. These subjects are required to comply with all the duties of Autenticert, including those relating to independence, conflict of interest and data processing;
- request the Organization for an advance payment of the dues, in the event of previous delays in payments, exceeding thirty (calendar) days;

8. CERTIFICATION PROCEDURE

8.1 Application for Certification

The Organization interested in the Certification receives from the Body the "Mod 16 Request for Offer". The Document is also available on the website www.autenticert.com therefore the customer can also send the Model independently.

The application for certification must come from an authorized representative of the applicant Organization.

On the basis of all the information, Autenticert formulates and sends a personalized economic offer drawn up on the basis of the tariff in force. This document identifies the IAF sector to which the Organization belongs and defines the scope (purpose) of the Certification.

Following the Review of the Application, the Body may decide to accept or reject the Application for Certification/Renewal. In the event that the request is rejected, the Organization will be informed of the reasons.

The duration of the visit to the Organisation is determined in accordance with the IAF requirements (See IAF MD5), using the Mod 14 "Tariff" and on the basis of:

- Requirements of the applicable management system standard;
- Size and complexity;
- Technological and legislative context;
- Outsourcing of activities included in the scope of the management system;
- Results of previous audits;
- Number of sites and considerations about multiple sites or sites with construction sites

It is represented that the calculation of the offer is developed by contemplating which criterion(s) for the determination of the equivalent effective staff has been used, if any, among the following:

- Part-time or staff who do not work in certified processes
- Repetitive processes
- Shift work
- Low-skilled personnel (this point applies only to activities carried out in developing countries.
- the number of audit days
- the reduction/increase factors that the CAB has applied, based on the information provided by the Organization, for all reference regulatory documents (e.g., also IAF MD 11).
- In any case, the CAB remains available to provide any other clarifications that may be necessary to better understand the procedure adopted.

In the case of Multisite Organizations, Autenticert assesses the applicability of the IAF MD1 Mandatory Document for the Certification of Multiple Sites Based on Sampling, identifying with the collaboration of the Organization, and before the issuance of the Offer, the complexity and scale of the activities subject to certification and the differences between the various sites to determine the level of sampling.

Operational locations other than the head office shall be sampled and/or selected in accordance with IAF requirements (MD1). Autenticert develops a sampling program to ensure a proper audit of the management system. The justification for the sampling plan is delivered to the customers.

8.2 Return of the offer and order confirmation

For the continuation of the certification process, the applicant must send to Autenticert:

- the stamped and signed certification offer;
- the certificate of registration with the Chamber of Commerce (C.C.I.A.A.) dated no earlier than 12 months or other equivalent document;
- the list of active construction sites (applicable in all cases where the Organization carries out the activity outside its headquarters, such as construction companies, cleaning services, surveillance, consultancy, etc.).

The signature for acceptance of the certification offer also constitutes the acceptance by the organization of the Regulations.

The signed offer has the value of a contract whose duration is indefinite, until the certification is waived in writing (see § 13.4). The costs remain those defined at the time of signing the initial contract, but subject to adjustments on the basis of the ISTAT inflation rate of the previous year.

The Order Confirmation that the Secretariat sends to the Organization, contains the details for the start of the certification process including the contract/order number assigned which will also identify the certification file, the names of the Audit Group in charge of the evaluation and the duration of the evaluation phases.

The Company may lodge an appeal, within 3 working days, against the appointment of a member or of the entire Audit Group, giving reasons for doing so.

If the objections are deemed valid, the Body reconstitutes the audit team.

8.3 Changes to the Agreement

Changes to the contract made after the order confirmation are evaluated by Autenticert, reviewed and taken into account with a further confirmation letter to the Organization.

8.4 Preliminary Audit

In the event that the Organization requests the performance of a preliminary Audit, there are no 2 phases, but the contents of the Audit activity remain completely unchanged.

This audit is carried out for consideration and cannot be repeated over time.

The duration of the preliminary audit is set at 1 day for companies with 50 or fewer employees and 2 days for larger organizations.

Any Serious and/or Minor Non-Conformities issued do not preclude and do not condition the performance of the subsequent Assessment Audit, as they will not be subject to verification.

The results of the Pre-Audit are documented but are not considered for the purposes of the first Audit for the issuance of the certification.

8.5 Audit Planning

The Head of the Audit Group, upon receiving the assignment, agrees on the dates with the Organization and with the other members of the Group and, in collaboration with Autenticert, prepares a plan and assigns the tasks to the Audit Group, based on specific skills.

The Manager transmits the results of the "Audit Plan" planning to Autenticert which, after approval, sends it to the Organization in order to inform it of the methods of conducting and planning the audit activities.

The Organization shall immediately notify Autenticert of any objection to the audit plan. Such objections must be resolved between the Head of the Audit Group, the Organization and the Autenticert before initiating the Audit.

The activities reported in the "Audit Plan" concern:

- the examination and verification of the structure, policies, processes, procedures, records and related documents of the client organization, relevant to the management system;
- verification that they meet all the requirements applicable to the intended scope of the certification;
- verifying that processes and procedures are in place, implemented and effectively maintained, in order to form the basis for trust in the client's management system;
- reporting to the client, so that he/she can take appropriate action, of any inconsistency between the policy, objectives and goals of the client (in line with the expectations of the applicable management system or other regulatory document) and the results obtained.
- Inclusion in the audit plan of all participants, e.g. technical experts, observers, auditors in training, indicating if applicable, the reason for participation.

The plan also reports the assignment of tasks to the Audit Group Manager, based on the specific skills and functions of the Organization involved.

8.6 Initial Certification Audit

The Initial Audit for the certification of the Organization's Management System is conducted in two phases: Stage 1 and Stage 2.

In the case of organizations with fewer than 10 employees and with a "low" or "limited" environmental impact (as defined by IAF MD 5), Stages 1 and 2 can be performed on consecutive days. However, it is confirmed that, if the outcome of the Stage 1 audit shows the presence of problems that could be classified as non-conformities such as to preclude the possibility of the issuance of certification, i.e. deficiencies in meeting one or more requirements of the standard or situations that raise significant doubts about the ability of the customer's management system to achieve the expected results (cf. UNI CEI EN ISO/IEC 17021-1 point 9.4.8.3), it is obviously not possible to proceed with the execution of Stage 2 consecutive to Stage 1.

The CAB must explicitly inform the client organizations that – in the cases described above – the Stage 2 must be rescheduled at an adequate distance of time to allow the organization to solve the problems encountered and the inspection visit interrupted at the end of the Stage 1.

It should also be noted that "the resolution of critical issues identified in Stage 1" may lead to "significant changes that could have an impact on the management system", making it necessary to "repeat Stage 1, in whole or in part" to re-evaluate the modified elements (UNI CEI EN ISO/IEC 17021-1 point 9.3.1.2.4). This possibility, which the CAB's procedures and regulations must consider, is an additional critical factor in establishing Stage 1 and 2 consecutively.

Step 1

The activity is carried out at the Organization's headquarters and begins with an opening meeting, attended by the Management and the Managers of the Organization to agree on the purposes and methods of the Audit and confirm the Plan sent.

Stage 1 includes:

- assess that the organization's system documentation, including risks, opportunities, and procedures, covers and complies with all the requirements of the standard;
- verify that the organization has developed a complete, conscious and organic analysis of the context, acquiring directly from the Management the evidence that ensures confidence that the analysis of the context is effective in giving the management system the ability to obtain the expected results, and recording detailed information on the checks carried out;
- verify that "within the scope defined for the management system" the organization has identified and evaluated all "the aspects of its activities, products and services that it can control and those on which it can exert influence, in order to identify which are the significant ones on which to develop its system;

- In fact, it is considered crucial that the CAB's attention is focused on the completeness, coherence and correctness of the phases of context analysis and risk identification and assessment, rather than on the mere formal existence of the relevant documents ("Context Analysis") The CB must verify that the assessment phase is supported by appropriate links with the results of the analysis of the context and risks and by qualitative and quantitative data and information to the different aspects identified, which will have to be collected and made available organically by the organization. However, this does not exclude the CAB from requiring, even in binding terms, within their Certification Regulations.
- The report, or other document prepared by the CAB at the end of the Stage 1 phase, must record all references to the documents and/or authorizations examined.
- discuss, verify, and document the purpose of certification.

With particular reference to points 2, 3 and 4, it is imperative that the audit team carries out the relevant and necessary on-the-spot inspections in order to obtain an overall picture of the context and activities.

The Stage 2 audit plan should be carried out on the basis of the Stage 1 conclusions and should take into account:

- the level of legislative compliance and the results of the internal audit cycle.
- an assessment of the location and special conditions of the site and an exchange of information with the Organisation's staff, in order to verify the degree of readiness for Stage 2,
- the review of the status and understanding of the client's regarding the requirements of the standard, in particular in relation to the identification of key performance or significant aspects, processes, objectives and operation of the management system,
- the collection of information relating to the scope of the Management System, processes, customer location(s), legal and regulatory aspects, including confirmation of the information provided to the CB by the company, (e.g. the number of employees declared);
- the review of the allocation of resources for Stage 2, agreeing with the client on the details of Stage 2, with the confirmation or variation of any construction sites;
- the planning of the Stage 2 audit, acquiring sufficient knowledge of the management system and the activities of the customer's site, with reference to the possible significant aspects the assessment of the criticality of the shifts, in case the activity is carried out on several shifts.
- the verification of the planning and execution of internal audits and the Management Review.

Stage 2 (Management System Audit)

The purpose of the Stage 2 audit is to assess the implementation, including effectiveness, of the client's management system. The Stage 2 audit is carried out at the customer's site(s) and at any construction sites where the products and/or services subject to certification are manufactured and/or provided and must cover at least the following:

- information and evidence about compliance with all the requirements of the standard or other regulatory document applicable to the management system;
- monitoring, measuring, reporting and reviewing performance, with reference to the fundamental objectives and targets of the performance itself (in line with the expectations of the applicable management system standard or other regulatory document);
- the customer's management system and services with reference to compliance with legal requirements;
- keeping the customer's processes under control;
- internal audits and management review;
- management's responsibility for the client's policies;
- the links between regulatory requirements, policy, performance objectives and targets (consistent with the expectations of the applicable management system standard or other

regulatory document), all applicable legal requirements, responsibilities, staff competence, activities, procedures, performance data and internal audit findings and conclusions.

- Verification of the congruence between the processes identified in Stage 1 with the business processes analyzed.

At the end, the Audit Group meets to draw up the report with any findings.

The Audit closes with a final meeting held by the head of the group who presents the results of the Audit and the conclusions regarding the compliance of the Organization's Management System with the reference model, specifying any findings found. At the end of the meeting, the Head of the Audit Group issues the Report describing the results of the Audit with any Non-Conformities and Observations found.

The presence of Non-Conformities precludes the issuance of the certificate, therefore the head of the Audit Group assesses and transcribes on the report whether a full additional audit, an additional audit limited to verifying the implementation and effectiveness of the CAs or the sending of documentary evidence is necessary, highlighting that his recommendation will be unfavorable to the issuance of the certification.

The Organisation may note, in the appropriate space of the report, any reservations, observations or suggestions on the work of the group and the service carried out or notes regarding non-conformities or observations issued by the Audit Group. Such reservations may also be formulated by the Organization at a later date, within 10 working days from the end of the visit and sent directly to the Management of Autenticert.

Regardless of the presence of Non-Conformities, the audit team may express the need for an Additional Audit, justifying the reasons to the Management of the Organization.

The Organization is required to analyze the causes of the findings and to communicate to the CB, within 15 calendar days from the date of the audit, the proposal relating to the corrective actions established, with the timing of implementation.

Autenticert will analyze the contents of the Report and will confirm or not the classification of the findings and the conclusions of the Head of the Audit Group (the report is considered confirmed if no further communication to the Organization follows within 15 working days).

If the Report is not confirmed, it will be revised and re-submitted with an explanation of any changes from the previous Report.

9. ISSUANCE OF THE CERTIFICATE OF CONFORMITY

9.1 Technical Resolution Function (Deliberation Committee)

The deliberation committee is the deliberative body of Autenticert and as such has the task of:

- deliberate on proposals on the issuance, extension and reduction of certification;
- decide on the suspension/revocation of the certificate for serious technical deficiencies following a proposal from the RGVI (this does not include suspensions requested by the organization or ordered by Autenticert for non-payment, unwillingness to carry out the surveillance audit, expiry of the maximum suspension periods, etc.);
- arrange for an additional verification to be carried out;
- change the implementation dates or possibly request a change in the content of the corrective actions proposed by the organization;
- request further evidence of the closure of non-conformities both before and after the resolution of the file.

The deliberation committee, after having read the documentation, the results and the conclusion of the audit, the opinion of the audit team, the corrections and/or corrective actions of the Organization, any other pertinent information (e.g. customer comments or information in the public domain), etc., resolves whether or not to grant the certification of the Management System.

The Committee's deliberation is valid as approval of what is proposed, including the Surveillance Program (the Surveillance Program establishes the parameters to be followed in the conduct of surveillance during the three-year period of validity of the certificate).

If the information available is insufficient to express an opinion, the deliberation Committee may order a supplementary investigation by referring the file to Autenticert, which will define the methods with which to integrate the aforementioned information. The Organization is informed by an official communication explaining the further activities to be carried out.

When certification is not granted, Autenticert shall inform the Organisation in writing of the reasons for this decision and the Organisation may appeal in accordance with the provisions of these Regulations.

In the event of certification, the Organisation shall receive a certificate of conformity, by whatever means it chooses. Unless otherwise specified, the certificate will be provided on paper.

The certificate identifies the following:

- the legal personality of the Organisation subject to certification (company name and tax code);
- the reference standard (e.g.: ISO 9001... and/or other regulatory document used for the audit of the Certified Organization, including the edition and/or revision number);
- the types of processes (activities carried out) carried out as part of the company management system subject to certification (design, development, manufacture, installation, assistance, etc.);
- the results of the activities carried out in terms of products provided and services provided;
- the geographical location of each Organisation whose management system is certified (or the geographical location of the Headquarters and all sites covered by the scope of a Multi-Site certification (including full address));
- any specifications and clarifications necessary or useful for the better definition of the elements and data indicated above;
- references to the validity of the certification in terms of the date of issue of the certificate (it cannot be earlier than the date of the certification decision by the Deliberation Committee), extension or renewal, current issue date and expiry date. In this regard, the renewal date will coincide with the previous expiration date;
- the name, address and certification logo of the certification body; other trademarks may be used, as long as they are not misleading or ambiguous (see the "Regulations for the use of the Trademark");
- any other information required by the standard and/or other regulatory document used for certification;
- in the case of the issuance of audited certification documents, a means of distinguishing such documents from obsolete previous documents;
- a single identification code;
- signature of CEO of Autenticert

If exclusions of requirements have been accepted and/or outsourcing of processes is envisaged, the certificate will contain the wording "*there are exclusions to the requirements of the reference standard and/or outsourced processes*".

In the event that the customer intends to change the field of activity indicated in the certificate, he must make a written request to Autenticert which will decide, if necessary, to carry out a further documentary and/or inspection examination.

Together with the Certificate, the Secretariat sends the Organization the Autenticert mark and the Mod 18 Customer Satisfaction Questionnaire.

9.2 Function of Impartiality, Direction and Supervision of Certification Activities

Autenticert has set up a Committee for the Safeguarding of Impartiality to:

- support Autenticert in the development of policies relating to the impartiality of its certification activities;

- counteract any tendency, on the part of Autenticert, that commercial or other aspects prevent a congruent and objective performance of certification activities;
- provide suggestions on aspects that may affect trust in the certification, including transparency and public perception;
- conduct a review, at least once a year, of the impartiality of Autenticert's audits, certifications and decision-making processes

Other tasks or activities may be entrusted to the Committee, provided that such additional tasks or activities do not undermine its essential role in ensuring impartiality (e.g. the assessment of appeals). See § 19.1 below).

The Impartiality Committee is the representative body of the institutional, economic and social parties involved in the certification and guarantees the independence, impartiality, competence and adequacy of the resources used in the certification activity, to ensure that:

- the balance of the interests represented is such that no single interest is predominant;
- there is access to all the information necessary to enable the Committee to carry out its functions (e.g. requesting to participate in audits as observers, compatible with the planning needs of the CAB);
- the Committee has the right to take independent action (e.g. by informing authorities, accreditation bodies, interested parties) if CEO of Autenticert does not take into account its suggestions. In undertaking independent actions, the Committee must, however, comply with the confidentiality requirements, referred to in § 18 of these Regulations which implements point 8.5 of the rule, relating to the organisation and Autenticert.

9.3 Publication and Information to the outside world

Following the issuance of the certification/attestation, Autenticert inserts the name of the Organization in the appropriate Register and, where required, transmits the name to PAC or other designated authorities. This Register can be consulted by anyone who requests it and is updated periodically at least monthly. Autenticert publishes the names of the certified organizations in the form and manner it deems most appropriate.

The Register contains information about the Organization:

- number of the Certificate/attestation;
- Name;
- indication of the locations (address and purpose of the certificate/attestation);
- purpose or scope of application of the certification/attestation, IAF sector/NACE code to which it belongs (where required by the particular Certification/Attestation Scheme), activity/family of products/product/processes/services carried out;
- commercial name of the product (where required by the particular Certification/Attestation Scheme);
- description of the product (where required by the particular Certification/Attestation Scheme);
- reference standard, or harmonised product standard or European Technical Assessment (where required by the particular Certification/Attestation Scheme);
- Extended Test/Application/Classification Standard(s) (where required by the particular Certification/Attestation Scheme);
- information regarding the Certification/Attestation: date of issue, date of any update; expiry date (where required by the particular Certification/Attestation Scheme);
- status of the Certificate/Attestation: active, revoked, suspended, expired or an indication of the waiver by the Organization.

Autenticert, in order to carry out its activities and for the control activities to which it is subjected, must have the records (such as Audit Reports, Audit Diaries, Check lists, any reports on deficiencies, etc.) relating to the conformity assessment activities carried out, to PAC staff or, for example, to be viewed and/or provided in copy. where necessary, to the Competent Authorities, Similarly to what has just been set out for the control activities to which Autenticert is subjected

by PAC, Autenticert may have to provide or have viewed the records drawn up by the Audit Group, which is also in charge of controls and/or legal provisions. The information included in the records drawn up by Autenticert Personnel during conformity assessment activities is treated confidentially by the Personnel, Bodies, authorities or others to whom the records are delivered in copy. In the event that the Audit Group in charge of Autenticert should also request from the Organization subject to the conformity assessment activity a copy of documents owned by its Clients (such as drawings, contracts, orders, test certificates, etc.), the documents and their contents are treated confidentially. In the event that a request is made to Autenticert to deliver a copy of the same, the Client is informed of the request and authorization is requested for the delivery of the same, unless otherwise provided for by law.

Any information relating to the Organisation from external sources is treated confidentially.

10 SURVEILLANCE ACTIVITIES (STANDARD AND SUPPLEMENTAL)

10.1 Surveillance Audits

During the three-year period of validity of the certification, Autenticert carries out periodic surveillance audits following the Surveillance Program. Surveillance audits are field audits generally conducted on part of the requirements for certification, at least once a year, aimed at verifying the maintenance of the requirements specified by the standard on the basis of which the certification was issued, as well as the absence of changes in the organizational structure of the certified organization and its management system.

Other surveillance activities may include:

- requests from the certification body to the certified customer regarding aspects related to certification;
- review of the client's statements about its activities (e.g. promotional materials, website);
- requests to the customer to provide documents and records (on paper or electronic means); and
- other means of monitoring the performance of the certified customer.

The date of the first surveillance audit, following the initial certification, shall not exceed 12 months from the date of the certification decision.

However, all areas and processes must be audited during the validity period of the certificate.

During the individual monitoring visits, the elements of the legislation chosen for the specific visit are examined and the elements of maintenance of the management system, which make it possible to assess its effectiveness, which are at least the following:

- areas and elements subject to change/modification;
- the effectiveness of the Management System in achieving the objectives set by the organization;
- continuous monitoring of activities;
- the implementation of programs to improve the activities and products/services of the Organization;
- internal audits;
- reviews of the management system;
- handling of complaints;
- the use of conformity marks and/or any other reference to certification;
- in the case of Multi-Site Organizations, sites or sites other than the main office are sampled and/or chosen in accordance with the requirements of the internal "Multisite Organizations" procedure and any requirements applicable to specific sectors;
- when applicable, a review of the actions taken as a result of the corrections and/or corrective/preventive actions implemented by the Organisation following the findings found in the previous inspection visit.

10.2 Maintaining Certification

The certification shall be maintained on the basis of a positive conclusion by the head of the audit team without further independent review, because:

- for any finding or other situation that may lead to the suspension or revocation of the certification, Autenticert requests the head of the audit team to report to the CB the need to submit to the decision of the Deliberation Committee the maintenance or possible suspension/revocation of the certification;
- Autenticert's competent staff monitors its surveillance activities, through the analysis of the reports received from its auditors, to ensure that the certification activities are working effectively. This monitoring is carried out with a sampling percentage of 20%; evidence of this activity is reported in the Verification Diary – Mod. 20.

10.3 Additional Audits

Autenticert reserves the right, justified in writing to the Certified Organization, to carry out additional (unscheduled) inspection visits during the certification period. Causes for which additional audits may be carried out include, but are not limited to:

- verify the implementation and effectiveness of the treatments (corrections) of Non-Conformities and corrective/preventive actions implemented by the Organization;
- as a result of changes made by the Organization to its System and considered relevant by Autenticert;
- decision of the Deliberation Committee.

Additional audits may also be ordered by Autenticert in the following cases:

- misuse of the mark and certification;
- legal proceedings related to defective product/service liability;
- failure to comply with mandatory regulations;
- Extension of certification.

In the event of refusal of the additional verifications, without valid reasons, by the Organization, Autenticert may initiate the process of suspension of the Certification (see § 13.1).

Additional audits and the methods of conducting them shall be notified to the organization well in advance.

All expenses related to any additional checks are to be considered at the expense of the Organization; An exception is made for additional checks following reports or complaints, which will be borne by the Organization only if they are deemed justified by Autenticert.

11. RENEWAL OF CERTIFICATION

11.1 Audit Planning Certification Renewal

The certification is valid for three years and starts from the date of issue of the certification shown on the certificate of conformity (date of the decision of the Deliberation Committee § 9.2).

It is essential, in order to maintain the validity of the certificate of conformity, that:

- the conditions that led to the certification remain unchanged,
- the monitoring visits have been successful,
- the requesting Organisation is updated with the payment of the agreed fees,
- the certification and the mark are not misused as specified in the "Regulations for the use of the Trademark".

A recertification audit is planned and conducted to assess the continued satisfaction of all requirements of the applicable management system standard or other regulatory document. The purpose of the recertification audit is to confirm the continued compliance and effectiveness of the management system as a whole, as well as the continued relevance and applicability to the scope of the certification.

The recertification audit takes into account the performance of the management system over the certification period and includes the review of previous surveillance audit reports.

Since the contract is open-ended, in cases where the information on the basis of which the offers are issued during the certification phase can be confirmed, the planning of the renewal visit takes place in the same way as surveillance audits.

In the event that there have been significant changes in the number of employees, average turnover, sites subject to certification and activities carried out by the certified organization, the latter is required to communicate them to Autenticert, in order to be able to proceed with the revision of the certification offer.

In the event that the Organization has made significant changes in the management system, or there have been changes in the context in which the management system operates (e.g. changes in legislation), the recertification renewal audit activities may require a Stage 1 audit. In the case of multiple sites or certifications issued by Autenticert against multiple management system standards, the planning of the field audit will be such as to ensure adequate coverage.

11.2 Renewal Audit

The renewal shall be subject to the successful outcome of a full new field audit establishing the following:

- the effectiveness of the management system as a whole, in the light of internal and external changes, and its continued relevance and applicability to the scope of the certification;
- the commitment shown to maintain the effectiveness and improvement of the management system in order to strengthen overall performance;
- if the operation of the certified management system contributes to the achievement of the Organization's policy and objectives.

The renewal audit is carried out in the same manner as described in these Certification Regulations (§ 8.6 with the exception of Stage 1, which is present only in special cases). The renewal visit must be carried out before the expiry of the certificate and can be carried out later only in exceptional cases, authorized by Autenticert, motivated by objective reasons (e.g.: period of closure or non-seasonal activities, for spas and campsites, collection of fruit and vegetables out of season, etc.).

In these cases, the validity of the certificate is extended, unless otherwise communicated by Autenticert, until the date of the Deliberation Committee that evaluates the outcome of the renewal audit.

Extensions shall be formalised in writing and shall be an integral part of the certificate and may not be used separately from it.

In the event of an extension of the validity of the certificate, the Organization is automatically authorized, for the same period, to use the mark under the conditions defined in the Regulations for the use of the mark.

When, during a recertification audit, findings are identified, the cut-off time for the implementation of corrections and/or corrective actions must be 5 working days before the expiration of the certification, in order to allow Autenticert to carry out all the consequent actions, before the expiration of the certificate.

11.3 Information for the Issuance of Certification Renewal

The Institute's Deliberation Committee decides on the renewal of the certifications with the same evidence and methods already described above, with the additional element relating to the results of the review of the system during the certification period and on complaints, carried out by the CTO. The renewal certificate will bear the same identification code, updated on the current issue date, which will coincide with the date of resolution of the renewal and will in any case be prior to the expiry of the previous certificate.

The period of validity of the certification will normally be three years from the date of effective resolution of the renewal; However, in order to avoid discrepancies, in the event that the decision on certification is made within 30 calendar days prior to the expiry date, the certificate will maintain its temporal continuity.

12. SPECIAL AUDITS

12.1 Extension of the scope

The extension of the certification may concern the standard, the activities, the certified operating units. In order to start the process of extending the scope of an already issued certification, the Licensee Organization must submit a formal request indicating the object of the extension, following which Autenticert will carry out a review of the application and establish the audit activities necessary to decide whether or not it can be granted. Autenticert can decide to:

carry out a Supplementary Audit together with a surveillance audit. In the event that it is not possible, due to the needs of the Organization, to carry out the Additional Audit on the occasion of the surveillance or because the request for extension straddles two surveillance audits, this will be carried out limited to the object of the extension of the certification);
require the submission of a new application for certification (see § 8.1).

The Offer for the extension is calculated on the basis of the provisions of the Fee Schedule.

The file relating to the extension is examined by the Deliberation Committee and in the event that the analysis of the documentation and/or the audit are successful, Autenticert issues a new certificate that will carry the same identification code updated on the current date of issue.

Substitute documentary evidence cannot be used in cases of request for extension of the scope of the certification. The extension of an activity associated with a type of work can only be granted following verification in an operational and significant construction site.

No change in the scope of certification (by extension) may be discussed during the Audit, if the Company has not previously informed Autenticert in writing and in the absence of acceptance by the Body.

12.2 Short-notice audits

It may be necessary for the certification body to conduct audits on certified customers at short notice or without prior notice to investigate complaints, or in response to changes, or as a follow-up on suspended customers. In such cases:

the certification body must describe and make known in advance to certified customers (e.g. documents as described in 8.5.1) the conditions under which such audits will be conducted;

The certification body must exercise additional care in assigning the audit team due to the lack of opportunity for the client to object to the audit team members.

The minimum notice period decided by Autenticert is 3 calendar days. In such cases, Autenticert: informs the Certified Organisations in advance, through this paragraph, of the conditions under which these visits are carried out at short notice, including sanctions;

takes particular care in the designation of the audit team due to the lack of possibility for the Organisation to raise objections to the members of the audit team. Normally, auditors already appointed by that Organization are appointed, for whom no reasoned objections have been received and the Satisfaction Questionnaires completed by the Organization do not show any negative notes. Therefore, failure to send the Satisfaction Questionnaires to Autenticert will automatically accept the audit team.

The Organization has the obligation to allow access to the Audit team, under penalty of suspension of certification in the case of investigation of complaints and changes and under penalty of revocation in cases of investigation downstream of the suspension. The costs of this activity will be borne by Autenticert if the outcome of the audit ascertains the lack of malice or findings, they will be borne by the Organization in other cases. The rate applied is equivalent to the cost of the man-days provided for in the Offer.

In particular, with regard to changes in the organisational and/or ownership structure and/or management system of the Organisation, both additional audits and at short notice may be carried out, depending on the data available at Autenticert regarding the historical correctness of the Organisation's behaviour, the real problems of the case in question, etc.

12.3 Market Surveillance

The Market Surveillance audit is carried out at the certified organization, but conducted directly by Accredia staff, and not by the Body. The audit is carried out in the presence of the staff of the organization (usually only the Quality Manager) and of the Body (if possible with the participation of a member of the Audit Team that conducted the most recent audit). This verification activity does not coincide with a surveillance or renewal activity conducted by the Body, but is a day in itself. The company subject to the Market Surveillance activity is chosen directly by Accredia, based on some risk factors (e.g.: purpose of the certificate, size of the company, headquarters, verification group). Any findings that may emerge follow the already known classification (NC, OSS).

12.4 Mystery Audit

Accredia may carry out, at any time, incognito checks on the CAB's client organisations.

13. SUSPENSION, REVOCATION OR REDUCTION OF THE SCOPE OF CERTIFICATION

13.1 Suspension of Certification

For reasons deemed serious and formalized in writing to the Organization by registered letter with acknowledgement of receipt, or equivalent, the Management of Autenticert has the right to temporarily suspend, for a maximum period of 6 months, the Certification granted.

Any suspension/revocation proposed by the Head of the Audit Group during maintenance visits that highlight serious technical deficiencies is subject to the decision of the Deliberation Committee.

For example, suspension can be applied when:

- the Organization does not handle complaints correctly;
- the Organization, on the occasion of the maintenance visits, shows serious deficiencies in the System, and these findings, in the opinion of Autenticert, are not in any case such as to lead to the immediate revocation of the Certification;
- the Organization has not submitted, within 15 calendar days, the proposal relating to the corrective actions established with the timing of implementation, in the face of Minor Non-Conformities detected;
- the Organization does not comply with the provisions for the implementation of the resolution of Non-Conformities;
- the Organization is unable to complete the proposed corrective actions within the agreed period;
- the Organization is not up to date with the payments relating to the activities already carried out;
- the Organization, based on the judgment of Autenticert, abuses the certification mark of the Body and the certificate of certification;
- the Organization does not remedy the misuse of the Certificate and/or trademarks to the satisfaction of Autenticert;
- the Organization contravenes the provisions of the Regulations;
- the Organization requests suspension for justified reasons;
- the Organization makes substantial changes to the System without due notification to Autenticert or without the latter's approval;
- the Organization is not able to schedule surveillance audits within the established period;
- the Organisation is unable to ensure the smooth running of the planned verification activities, or refuses or obstructs their execution;
- the Organization does not guarantee the compliance of the Management System with mandatory laws and regulations relating to the certification standard applied and does not adapt its Management System to the new provisions;

- the Organization does not guarantee compliance with the mandatory requirements of the product and/or service;
- the Organization does not inform Autenticert of all pending legal proceedings related to the scope of the Certification;
- following decisions of the Committee for the Safeguarding of Impartiality;
- the Certified Organisation does not allow surveillance audits or certification renewals to be carried out at the necessary intervals;
- the Certified Organization does not communicate the intention and methods of modification of the management system and/or other changes such as change of registered and/or operational headquarters, company name, type of company

In the above-mentioned cases, Autenticert sends the holder a written reminder, inviting him/her to regularize his/her position within a deadline established for this purpose and/or within the established deadlines. In the absence of feedback or in the event that the necessary corrective actions are not taken by the Organization, the Body shall suspend the certification.

Following the suspension, the Organization must:

- cease the use of the Autenticert mark and references to certification;
- refrain from further publicizing the certification.

Suspensions are reported on the List of Certified Organizations available on the website and in any case, Autenticert may make the suspension public in the manner it deems most appropriate.

If the Organization, within the time established by the CAB, removes the causes that led to the suspension of the certificate, Autenticert will reactivate the certification. The reactivation of the certificates suspended due to the detection of serious technical deficiencies is subject to the decision of the Deliberation Committee.

If the Organization does not resolve, within the time established by Autenticert, the issues subject to the suspension, the CAB will sanction by revoking or reducing the scope of certification.

In the event of failure to carry out the renewal audit, Autenticert will suspend the validity of the certificate until the date of natural expiry of the same. Only in this case is the suspension considered irreversible and the Organization will have to proceed to start a new Certification Process.

13.2 Revocation

The certification is revoked by the Management of Autenticert in the following cases:

- persist, beyond the time referred to in § 13.1 above, of the causes that led to the suspension of the certification;
- repeated unwillingness to consent to the audit by Autenticert staff, which also included the failure to respond to multiple reminders of open construction sites;
- repeated non-compliance with the commitments made with Autenticert to remedy the findings of the Quality Management System found and reported during the audits;
- cessation of the activities subject to certification for a period of time exceeding 12 (twelve) months;
- serious violations or irregularities in the use of the certification certificate and logo;
- persistence of the condition of arrears for more than 1 (one) month from receipt of the warning/reminder sent by Autenticert by letter of return receipt and in any case within 120 calendar days from the issuance of the invoice (only for maintenance audits, certification and renewal audits are excluded for which payments must be made before the issuance of the certificate);
- other serious breaches of the contract and the Regulations;
- bankruptcy or liquidation of the Organization;
- ascertained non-compliance with mandatory legislation, with particular reference to any judicial and/or administrative proceedings that have become final;

- failure to adapt the quality management system to the changes in these Regulations;
- Waiver of Arbitration in the Event of Litigation.
- transfer to another organization of the business unit responsible for carrying out the activities falling within the scope of the certification;
- merger with another Organization(s);
- cleavage;
- transfer of the company in its entirety to another organization.

The revocation of certification may be partial or global (e.g. when it concerns some or all of the offices/branches/establishments of an Organization) or it may be in whole or in part (e.g. when it concerns all or only a part of the activity covered by the certification).

The revocation of the certification is notified to the Organization by registered letter with return receipt indicating the reasons for the measure adopted.

In addition, Autenticert deletes the entire Organization, or only the sites concerned, from the List of Certified Organizations on the website, or modifies the subject of the certification. Following revocation, the Organization must:

return the original(s) of the certificate(s) of conformity;
not to use copies and reproductions of the certificate(s);
cease the use of the mark and references to certification;
refrain from further publicizing the certification.

In all cases of revocation of the certification, all fees accrued for the provision of the services rendered will be due to the CB, as well as the reimbursement of all costs, expenses and charges incurred by Autenticert for the provision of the Services rendered up to the date of revocation, as well as the provisions of the signed certification offer.

The Organization whose certification has been withdrawn may reapply for certification only after demonstrating that the measures that Autenticert has deemed suitable to avoid the recurrence of the conditions that gave rise to the measure have already been effectively completed.

13.3 Reduction

The reduction of the certification may concern the standard, the activities, the certified operating units. The reduction of the certification is carried out at the specific request of the Organization, or at the decision of Autenticert

To start the process, the licensee must submit a formal request indicating the object of the reduction, following which Autenticert may decide to:

- carry out an examination of the management system documentation;
- carry out an Additional Audit;
- request the submission of a new application for certification (see § 8.1);
- simply grant the reduction on the basis of the analysis of the documentation (request for reduction). The economic offer for the reduction is calculated on the basis of the provisions of the tariff.

In the event that the analysis of the documentation and/or the audit is successful, Autenticert issues a new certificate. The reduction of the certification can also be ordered by Autenticert in the case of: changes made to the management system (see § 14.3).

the Organization is no longer active for the product/service subject to the certification or part of it;
the Organisation is no longer compliant for part of the scope.

The file relating to the reduction is examined by the Deliberation Committee and in the event that the analysis of the documentation and/or the audit are successful, Autenticert issues a new certificate.

13.4 Waiver of Certification

A company may renounce the Certification in its possession by formally terminating the contract, with more than three months' notice, upon expiry of the Certificate, or in the event of a Variation of the Certification Reference Standards, amendments to the Regulations for the Certification of Company systems and/or for the use of the mark, or for unilateral termination of the contract, during the three-year period of validity of the Certificate.

In all cases of waiver, all fees accrued for the provision of the services rendered will be due to the CB, as well as the reimbursement of all costs, expenses and charges incurred by Autenticert for the provision of the Services rendered up to the effective date of the waiver itself, as well as the provisions of the signed certification offer.

Autenticert cancels the Certificate and at the same time deletes the customer's name from the List of Certified Companies. The waiver is, therefore, effective from the moment of cancellation of the Certificate.

14. CERTIFICATION CHANGES

14.1 Notification of Changes to the Standards for the Certification of Management Systems by Autenticert

Changes to the certification requirements resulting from changes in the reference standards for the certification of management systems are promptly communicated in writing by Autenticert to customers, with an indication of the date on which they will come into force.

All Organizations that are audited in the first 6 months from the date of entry into force referred to above, will be verified against the old or new standard according to the Organization's request.

Compliance with the new standard is mandatory for the subsequent audit.

All Organizations that are audited after 6 months from the date of entry into force will be verified with the new standard.

Organizations may request, in writing, information and clarifications to which Autenticert will respond in writing.

14.2 Notification of Changes to the Rules by Autenticert

Changes resulting from changes in the rules and/or management system of Autenticert, described in these Regulations, are communicated to customers, who may communicate their opinions in writing or request clarifications within 30 working days from the date of notification of the changes.

With regard to the Organizations that have not made any observations, the principle of silence-assent applies, according to which the changes are considered accepted.

Organizations may comply with the new requirements within 3 calendar months of the aforementioned communication or renounce certification in the manner indicated in § 13.4 of these Regulations.

14.3 Notification of Changes Made by the Certified Organization

The Organization, as required by § 7.1, must notify within 60 days of the change to its management system and any other significant change that may compromise its compliance.

By way of example and not exhaustively, the following are mentioned:

changes to excluded requirements (compared to the approved manual);

changes in the management of outsourced processes (compared to the approved manual);

change in ownership structure;

transfer of assets to third parties, whether for consideration or free of charge (e.g. transfer/lease of the business unit or total contribution, etc., for details see § 20);

change of company name and/or corporate purpose limited to certified activities;

change in the organizational (in terms of quantity and skills) and/or technical structures related to the main production/supply processes (technologies and production techniques).

In particular, the changes referred to in points 1) and 2) must not be implemented until Autenticert has examined the documentation and the nature of the requested changes; after the analysis, Autenticert can decide to approve them directly or request:

integration of data, documents and information;

a comprehensive review of the management system documentation;

a Supplementary Audit;

the submission of a new Application for Certification (see § 8.1).

Autenticert shall notify the Organisation in writing, within 15 working days of receipt of the request for approval of the changes, of the actions it intends to take.

The costs for any verification actions shall be borne by the Organization.

The ownership of the certification can be transferred to another legal entity (e.g. change of company name, transfer/lease of the business unit or total contribution) only after assessment of the maintenance of the conditions required for certification in the terms set out above.

Any changes, even formal, requested by the Organization to certificates issued by Autenticert will result in the issuance of a new certificate and a fixed charge for administrative fees, as indicated on the Offer.

15. TRANSFER OF CERTIFICATIONS

It is possible, for an Organization, to transfer certifications to Autenticert as required by the IAF MD2:2017 Guide. This also includes Bodies that have ceased their activity while having maintained their accreditation until the cessation, but those that have had their accreditation revoked for any reason are excluded. In the event of suspension of accreditation, the indications of the Accreditation Body regarding the validity of the certificates issued apply.

The transfer can be carried out provided that the following conditions are met:

the certificate to be transferred is valid (i.e. not subject to suspension, withdrawal, etc.);

the certificate has been issued by a certification body accredited by PAC or by another Accreditation Body that is a signatory to IAF MLA EA;

the validity of the certificate is not subject to the carrying out of extraordinary checks, compared to the normal Autenticert surveillance scheme, by the issuer of the first certificate;

there are no ongoing court proceedings or final convictions for product liability.

Autenticert, the successor, reserves the right to evaluate the transfer request by carrying out a specific investigation aimed at verifying the aforementioned conditions.

At this stage, the applicant must provide Autenticert with all the information and documents relating to previous audits (last certification or renewal report, subsequent surveillance reports, related findings, any complaints and related corrective actions taken), the reasons for the transfer request, under penalty of non-application of the transfer procedure. Any non-conformities that are still open should be closed by the Issuing Body prior to the transfer, otherwise, corrections and corrective actions must be provided, so that they can be closed by the successor Autenticert.

The preliminary investigation involves the issuance of an economic offer drawn up on the basis of the Tariff according to the expected cost for the review of the documentation and the contractual moment (surveillance or renewal) of the certificate to be transferred.

Autenticert may also issue the certificate after the review of the documentation, following the normal deliberation procedure, in accordance with the surveillance program planned by the Body that issued the certificate.

The certificate will show as the date of first issue the one indicated on the certificate issued by the previous Body.

If there are no conditions to accept the transfer, the request by the Organization will be treated as if it were a request for first certification.

The transfer applies to certificates covered by IAF MLA accreditation, but also EA MLA level;

the EA resolution has been implemented, which provides that a certificate issued by a CAB that has been suspended or revoked, or that has in any case ceased to operate, can be transferred within a

maximum period of six months; In these cases, the accreditation body must always be informed before the transfer. Beyond six months, the file must be managed as a new certification; Transferring CAB confirms the validity of a certificate prior to transfer activities. the on-site inspection during the transfer of the certificate ("pre-transfer visit") is mandatory only if requested following the "pre-transfer review" (e.g. in the case of major NCs that are not closed). The pre-transfer visit is not an audit; the CABs must define the criteria of competence for those who carry out the pre-transfer review, while the competence of those who carry out the pre-transfer visit must necessarily be equal to that of a qualified auditor for the technical areas being audited; To carry out the pre-transfer review, it is necessary to receive the audit documents of the last three years in case of lack of such documentation, the Organization must be treated as a new customer; in the pre-transfer review phase, the incoming CAB is required to establish and record its audit plan and program, possibly also revising the initial provisions of the previous CAB; The activity of transferring a certificate cannot coincide with a surveillance or renewal audit. This means that the transfer activity must first be completed (documentary examination + possible pre-transfer visit), and only then can the surveillance or renewal audit be carried out; after the transfer activity (documentary examination + possible pre-transfer visit), a normal deliberation activity follows, carried out by personnel independent of those who carried out the documentary examination and any pre-transfer visit; The decision of the certificate takes place after the transfer, before carrying out the surveillance or renewal. The certificate issued upon completion of the transfer activities, if it bears the date of initial certification, must indicate that the certificate was issued by another CAB previously; the obligation of cooperation between CABs is strengthened (upon request, the transferring CAB must provide the successor CAB with all the documents and information required by the IAF MD 02 document, such as audit documents, information on the validity of the certificate, NC and their status), under penalty of sanctioning measures by the accreditation bodies (suspension and revocation of accreditation); A CAB cannot revoke a certificate just because a company notifies it of its intention to transfer the certificate. certification to another CAB, under penalty of sanctioning measures by the accreditation bodies (suspension and revocation of accreditation); once the transfer activities have been completed and the relevant certificate has been issued, the CAB must inform the CAB that it had issued the previous certificate. Autenticert reviews the documentation and the evidence is recorded on the Mod. 22, "Review of Transfer Application" in the field relating to the takeover of another CAB. The review provides for the issuance of an economic offer drawn up on the basis of the Tariff according to the expected cost for the review of the documentation and the contractual moment (surveillance or renewal) of the certificate to be transferred. Autenticert issues the certificate after the review of the documentation, following the normal deliberation process, in accordance with the surveillance program planned by the Body that issued the certificate. If there are no conditions to accept the transfer, the request by the Organization will be treated as if it were a request for first certification.

16. FEES AND PAYMENT TERMS

16.1 Fees

The amounts for the certification are defined in the offer prepared by Autenticert by applying the Tariff to the data and information communicated by the Organization. They are valid for the first 3 years of certification. Costs for the next three years are subject to adjustment based on the rate of increase in the country in which the offer is made.

The offer can be modified if the data provided during the offer phase prove to be incorrect or inconsistent; These variations/discrepancies can be:

communicated by the Organisation as a result of internal changes that occurred after the requests for quotation;

detected as a result of audits,
following changes in the Tariff.

Autenticert notifies customers of the changes, by fax or e-mail, acknowledging the right, within 30 calendar days of notification, to terminate the contract by waiving the certification.

After this deadline, the changes are to be considered automatically accepted.

For any activities carried out before the expiry of the deadline, the Organisation that avails itself of the right of withdrawal shall be charged the rates prior to the changes.

16.2 Terms of payment

Payments relating to certification/maintenance must be paid within the time and in the manner indicated in the Offer and in subsequent administrative communications. An interest rate will be applied to late payments as regulated by the country of reference.

Failure to pay the requested sums will result in the non-execution by Autenticert of the activity and, when applicable, the issuance of a letter of formal notice, containing the deadline for making the payment, after which the certification will be automatically suspended and subsequently revoked, in the event of the permanence of the conditions of insolvency, as provided for in § 13 of these Regulations.

Cancellation and/or postponement of the audit communicated to Autenticert with less than 4 working days' notice will result in a charge of 70% of the total amount of the audit.

17. USE OF THE MARK AND CERTIFICATE

Once the verification process has been successfully completed and the relevant certificate has been issued, the Organization is granted permission to use the system certification mark and the certificate.

The mark is the exclusive property of Autenticert and its use is prohibited without explicit authorization (granted with the letter of sending the certificate).

The Organization is required to use the trademark(s) and/or certificate in accordance with the requirements defined in Reg. 05 "Regulations for the use of the mark" available on the website.

18. CONFIDENTIALITY

Autenticert, as the Data Controller, guarantees the confidentiality of all acts, data and information concerning the Organizations which, starting from the application for certification, are considered confidential and managed in compliance with the applicable law as per Reg. (EU) No. 2016/679 known by the acronym GDPR.

All persons, internal and external (committees, auditors, IT service providers, etc.) involved in the certification process or who for other reasons have access to the offices of Autenticert, sign a precise commitment of confidentiality and absence of conflict of interest, which in the applicable cases, is also reported in the contract (auditors, service providers, etc.). Autenticert informs the customer, in advance, of the information it intends to make public. All other information, except that made public by the Organization, will be considered confidential.

Except as required by law, no information about a particular customer or person will be disclosed to a third party without the written consent of that organization or person. In cases where legislation requires Autenticert to disclose confidential information to a third party, the Organization or the person concerned will be informed in advance about the information provided, unless otherwise provided for by law.

Information about the customer from sources other than the customer's own (e.g. from complainant, from legal authorities) is treated as confidential information, in accordance with Autenticert's policy

Personnel, including members of Committees, suppliers, staff of external bodies or persons acting on behalf of Autenticert, as mentioned, are required to maintain the confidentiality of all information obtained or derived from the performance of Autenticert's activities

Autenticert has and uses equipment and devices that guarantee the secure handling of confidential information (access to any personal computer with passwords, documents and records of the applicant or licensee in lock-and-key cabinets).

When confidential information is made available to other bodies (e.g. accreditation bodies, etc.) Autenticert informs the customer of such actions.

In addition, the foregoing is valid unless:

- the publication of data is required by the rules of accreditation or certification (List of Certified Organizations including the points reported in paragraph 9.3);
- the communication is required pursuant to these Regulations for the effective exercise of its functions. In such a case, it must remain limited to the addressees of the same;
- is otherwise established by law or ordered by the Judicial Authority;
- Disclosure is subject to the express and unanimous consent of all interested parties.

Acceptance of these Regulations authorizes Autenticert to process, communicate and disseminate information/data in accordance with what is expressed in this paragraph and in compliance with mandatory laws.

19. APPEALS, COMPLAINTS AND LITIGATION

19.1 Appeals

The appeal applies in the event that an Organisation intends to appeal against any decision taken against it. The appeal, which does not suspend the measure/sanction, must be submitted by registered letter with return receipt within 10 (ten) working days from the notification of the measure/sanction.

Autenticert acknowledges, in writing, the receipt of the appeal and in the same letter, communicates to the Organization the names of the members of the Committee for the Safeguarding of Impartiality that the Director may use to examine the file, which may be all (generally all) or only a part of the most competent on the subject of the appeal.

The activation of the Committee guarantees independence, impartiality and no previous involvement in the contents of the appeal and, above all, that there are no actions of a discriminatory nature against the applicant. The Committee decides, evaluating the entire process of receipt, validation and examination of the appeal by Autenticert and taking into account the results of similar, previous appeals. In addition, it ensures their registration, traceability, actions to resolve them and the adoption of appropriate corrections and/or corrective actions.

The Organisation may object to the composition of the group of members to whom the appeal is submitted. In the case of objective reasons, the member(s) of the group concerned by the recusal will be replaced. This objection must be submitted in writing within 3 working days of receipt of the communication of the names. After the analysis of the appeal and decisions on the matter by the Committee, Autenticert shall provide a written response to the applicant Organization within 3 (three) calendar months from the submission of the appeal. Autenticert provides reports on the progress of the appeal, whenever there are changes in the progress itself. The costs relating to the activities arising from the appeal shall be borne by the Organisation only in the event that it is the unsuccessful party.

19.2 Complaints and reports

Autenticert takes into consideration all complaints and reports received in writing from customers or other parties and handles them in accordance with these Regulations.

They are identified and recorded in a special register, analyzed by technicians who have had no previous involvement in the contents of the complaint itself (typically the Quality Manager) and all the information necessary to assess its validity is verified. In the event that the complaint proves to

be unfounded, Autenticert informs the complainant in writing stating the reasons why the complaint is to be considered unfounded.

In the event of a well-founded complaint, relating to certification activities for which the CAB is responsible, Autenticert analyzes the facts described, the records, the conduct of the auditors, the reference practice to verify the effectiveness of the management system, etc. Based on these analyses, Autenticert will correct the event and, when the causes are known, will initiate corrective action.

In the event that the report refers to a certified Organization, Autenticert notifies the Organization in writing of the complaint, within 5 (five) working days of receipt and, when applicable, requesting the implementation of a corrective action that will be subsequently evaluated by the CAB. Where deemed necessary, Autenticert arranges for additional audits to be carried out.

Upon request, including by telephone, from the complainant, Autenticert provides reports on the progress of the complaint.

At the end of the above activities, Autenticert, after having communicated in writing to the complainant (within 30 calendar days), the results of the complaint processing process, will evaluate with the same the possibility of communicating information about the complaint to the outside world. Complaints can be received by Autenticert by any means, as long as they are in writing (fax, e-mail, postal mail); in order to ensure a rapid and effective response, it is preferable to use the specially prepared template, available on the CAB website.

Any verbal or telephone complaints are taken into consideration, provided that they are not anonymous and that they are followed by written communication.

All the activity described above is subject to confidentiality requirements, with regard to the complainant and the content of the complaint itself, compatibly with the notification requirements to the subjects provided for by the law.

19.3 Litigation

Any litigation that may arise:

- with regard to the interpretation, implementation, execution, validity, effectiveness and termination of the certification contract or for any other reason (for example, unsatisfactory response to an appeal) and in any case referring to the contractual relationship between Utenticert and Organization;
- between the parties, directly or indirectly, for the application or interpretation of these "Certification Regulations" or for any other reason,

it is devolved exclusively to the award of an arbitration board according to the irritual arbitration procedure.

This panel is composed of three members, two of whom are appointed by the parties, one for each, and the third, acting as chairman of the arbitration panel, by the two arbitrators appointed by the parties.

In the absence of agreement, the arbitrator is appointed by the judicial authority of the Republic of San Marino. The party who decides to initiate the arbitration must communicate to the other party by email the name of the arbitrator designated by it.

The party who received this communication must in turn communicate via email to the other party, the holder. The arbitration, as mentioned, will be informal but in accordance with the law and the parties undertake to consider the arbitration decision as a manifestation of their contractual will and to respect it as a narrative pursuant to the Republic of San Marino.

The costs of the arbitration will be borne by the losing party. The seat of the arbitration is exclusively the Republic of San Marino.

As regards complaints, the report is noted in the Organization's certification file and a copy of the same is sent to the Impartiality Committee.

For all other disputes that may arise between Authenticert and parties other than the Concessionaire Organizations, the Republic of San Marino has exclusive jurisdiction.

20. HANDLING OF SPECIAL CASES

Below are the possible requests from Organizations already certified by Autenticert and how Autenticert manages them.

20.1 Sale of Business Units

With regard to this problem, the possible cases are:

transfer of the entire certified business unit: the certificate is revoked without carrying out an audit;
sale of part of the certified business unit: the purpose of the assets sold is reduced without carrying out an audit.

20.2 Contribution of the company in its entirety

The certificate shall be revoked without an audit.

20.3 Minor changes to certification

20.3.1 *Change of company name*

The company has changed its name as can be seen from the Chamber of Commerce certificate shown during the audit and sent to Autenticert previously, without other changes: a new certificate is issued.

20.3.2 *Transformation*

The company has only changed the type of company (e.g. from a partnership to a corporation), a new certificate is issued.

20.3.3 *Change of Venue*

Given that the registered office is the one reported in the Chamber of Commerce certificate, while the operational office is the place where the activities are actually carried out, in the event that the two are distinct, the following applies:

20.3.4 *Change of Registered Office*

The company has changed only its registered office, a new certificate is issued.

20.3.5 *Change of Operational Headquarters*

The company has changed its operational headquarters:

an Additional Audit is carried out with the issuance of a new certificate if the request is between two visits;

a Surveillance Audit is carried out with the issuance of a new certificate if the request is close to the Surveillance Audit. In this case, regardless of what is reported in the Surveillance Audit Program, requirements 6.3 and 6.4 will always be verified.

In the event that the two locations coincide, the same applies as described for the change of Operational Headquarters. The issuance of the Certificate is decided by the Management.