QMS CERTIFICATION REGULATION

QUALITY MANAGEMENT SYSTEM ISO 9001

DOCUMENT IDENTIFICATION DATA

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REVISION TABLE

REV.	REVISION DATE	DESCRIPTION/REVISION SUMMARY
00	2004-07-30	First Issue
01	2004-11-30	Complete overhaul of the procedure following the reorganization of the QMS
02	2005-04-30	Changes for new document management, new classification NC; adjustment RT-05 rev. 06
03	2005-08-31	Adjustment of the document updating the QMS AMTIVO
10	2005-11-17	Clarification in relation to the conditions of maintenance of certification Standardization of revisions of the QMS documentation AMTIVO
11	2006-01-27	Inserting new certification mark and clarification on the renewal of the certification of organizations already certified by accredited bodies. Adaptation to Regulation Sincert RG 01 Rev. 02 of 26 October 2005 and the Guidelines for improving the definition of the contractual aspects.
12	2007-07-31	Adaptation to Rev. 07 Revision of the Technical Regulations Sincert RT 05 of 28 February 2006: clarification on the Suspension and Revocation of certification; clarification concerning preliminary analysis of documents; clarification in the event of a negative outcome of the checks of the Technical Committee; clarification in relation acceptance of applications for certification by organizations already certified by other CBs.
13	2008-04-17	Adjustment in accordance with ISO / IEC 17021
14	2008-07-05	Second adjustment ISO / IEC 17021
15	2009-02-12	Adjustment to Rule UNI EN ISO 9001:2008
16	2009-04-07	Changes to extend the Rules validity to different Accreditation Bodies; changes art. 9, 10, 12
17	2010-02-02	Adjustment after internal audit june 2009 and SINCERT audit june 2009 (further details relating to 17021)
18	2011-07-01	Adjustment/improvement in the description of surveillance activities, multi-site, absence of discrimination after a recourse, etc.
19	2012-07-23	Updating regulations; deepening tasks entrusted to the audit team.
20	2013-10-04	Updating to ACCREDIA document RT05 rev. 01 12/07/2013.
21	2015-10-01	Adjustment to standard ISO 9001:2015
22	2016-04-01	Integration with market surveillance clause
23	2016-09-29	Adjustment to standard ISO/IEC 17021-1:2015
24	2019-04-01	Specification about interval between stage 1 and stage 2 audit

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Summary

Art. 1 – Scope and Application Field

This Regulation defines and rules the relationships between AMTIVO as a Certification Body, hereafter named "CB" or "AMTIVO", and the Organisations requiring the Certification of their own Quality Management System (QMS).

Furthermore it defines the ways and conditions for the certification granting and refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring following suspension, or withdrawing of certification, and the rules for the reference to certification and the use of marks.

The access to the certification services is allowed to any requiring Organisation in compliance with this regulation, excluding the application of any kind of discriminating conditions.

Consultancy in defining and applying the Company's Management Systems doesn't fall within the services supplied by AMTIVO as, in compliance with Accreditation Bodies Regulation, AMTIVO doesn't carry out such activity besides the normal information and service functions to the certified or to be certified Organisations. Furthermore AMTIVO doesn't make outer companies carry out audit activities, doesn't offer nor supply internal audit services to its own certified clients and doesn't certify management systems, which has possibly supplied internal audit services for, if not after two years from the conclusion of the audits themselves. AMTIVO doesn't certify other Certification Bodies for the activities of quality management system certification.

AMTIVO certification isn't any simpler, easier, faster or less expensive, should the client Organisation have used the services of a specific consultancy company rather than another one. AMTIVO certification activity isn't linked to activities of organisations supplying consultancy services, therefore actions will be taken, should any consultancy company assert unsuitably that the AMTIVO certification will be influenced by the choice of the consultancy company itself.

Art. 2 – Reference Documents

DOCUMENT	TITLE
ISO/IEC 17021-1:2015	"Conformity evaluation - Requirements for the bodies supplying audit services and certifications of management systems. Part 1 - Requirements"
ISO 9001:2015	"Quality Management Systems - Requirements"
ISO 19011:2018	Guidelines for the audit of the quality and/or environmental management systems
Accreditation Body Requirements	Available on Accreditation Body website
IAF MD Documents	Available on http://www.iaf.nu/articles/Mandatory_Documents_/38

Art. 3 – Definitions

The certification is "Attestation of the conformity of products, processes, systems or people by third parties" (*s.* ISO/IEC 17000:2004).

The Conformity Certificate released by the CB is the document attesting that the requiring Organisation works with a QMS in compliance with the reference standard ISO 9001.

The definitions related to the terms used for the activities concerning the certification of the Quality Management Systems are those ones listed in the standard ISO 9000:2015 "Quality Management Systems: grounds and terminology" with the following specifications:

Organisation: term used to state the subject who supplies a product or service requiring the certification;

CB: Certification Body;

TC: Technical Committee;

CSI: Committee for Safeguarding Impartiality or Committee for Impartiality;

Site: place or places where the Organisation carries out the Quality Management System to be certified;

Evaluation/Inspection: activity carried out by AMTIVO to check the Organisation works in compliance with the reference Quality Management System

Audit/Inspection: activity through which AMTIVO checks the maintenance of the QMS conformity to the specified requirements;

Inspection Group (IG): group of auditors charged by the CB with the evaluation of the Organisations' QMS;

Technical Area (Quality): set of processes necessary to meet customer expectations and related legal and regulatory requirements applicable to the products and services of the organization;

Anomaly: Non-conformity and Observation;

Finding: Non-conformity, Observation and Comment;

Non-conformity: implementation lack of one or more requirements of the standard which directly influences the QMS; fulfilment lack of legislative and/or regulatory requirements related to products/services within the certification scope.

Observation: one or more requirements are partially failed to comply with, without any prejudice to the QMS effectiveness; isolated episode of unfulfillment of one requirement which doesn't prejudice the QMS effectiveness; application of the rule not totally in compliance with requirements such as formal or procedural lacks in the process management (the QMS is anyway under control).

Comment: remark not due to the verification of an objective situation of non-fulfilment of a requirement, but aimed at preventing such situation to occur (as it is potentially realisable) at giving directions to improve the Organisation's performances.

Audit type:
PCI: Preliminary Certification Inspection
ICI: Initial Certification Inspection (always divided into Stage 1 and Stage 2)
PSI: Planned Surveillance Inspection
SSI: Supplementary Surveillance Inspection
CRI: Certification Renewal/Recertification Inspection (performed in one stage or divided into Stage 1 and Stage 2)

All inspections, except for the preliminary one (PCI), can be carried out with the inspectors of the Accreditation Body according to the CB needs.

Art. 4 – Committee for Impartiality

AMTIVO certification activity is carried out in full observance of impartiality. In order to increase the guarantee level, the CB has a committee called Committee for Safeguarding Impartiality (CSI), which:
- supports AMTIVO in the developing of the policies related to certification activity impartiality;
- opposes any trend that trade aspects, or aspects of any other nature, prevent a correct and objective certification activity;
- supplies suggestions on aspects which can influence the certification trust, including the public's transparency and perception;
- carries out a re-examination, at least once a year, of the impartiality of AMTIVO audit, certification and decisional processes.

To carry out its duties at the best, the CSI is composed by the representatives of producers, consumers and ministries associations.

AMTIVO CSI:
- guarantees the balance of the interests represented so that no one is predominant;
- can access to all necessary information to carry out its own duty;
- can take independent actions (for example by informing the authorities, the accreditation bodies, the interested parties), should the AMTIVO Management not consider its own esteems about the impartiality management,

respecting the confidentiality requirements under art. 13.

Art. 5 – General

The Organisation must have a documented management system (Manual, Procedures) in compliance with the requirements of the reference rules for the certification and must prove to operatively use the management system according to the system documentation requirements and the reference regulation concerning the application field of the system itself.

In particular each Organisation can require the certification of its QMS on condition that it:

- has a QMS which satisfies the requirements of the reference rule stated in the offer request;
- has been applying the QMS integrally for at least 4 months;
- has completed at least a full internal inspection cycle and carried out a management review;
- accepts the terms of the present Regulation;
- guarantees service to the CB Evaluation Group during the inspection visit with particular regard to the safety measures for the Inspectors as foreseen by the legislation in force and authorises the access to the areas and information necessary for carrying out the inspection.

Art. 6 – Certification of the Quality Management System

6.1 – Request Presentation

The Organisation which intends to start the certification procedure with AMTIVO has to present special estimate request by using the form supplied by the CB (form M-DCT01-0106), which it has to enclose the list of legislative prescriptions applicable to the process and activity and the indication of the consultant / consulting company that has supported the organization in implementing the QMS (information that the organization will keep updated ongoing maintenance of certification).

On receipt of the request, the CB issues the "economical Offer", according to the supplied elements and the current tariff, which will be valid for a period of 60 days from the emission date.

On the basis of the indications supplied by the Organisation, especially relating the number of employees, the activities and, if applicable, the number and location of the branch offices and/or yards, the CB quantifies the inspection period and defines the reference EA sector for the Organisation, the Certification application field (Object) and technical areas. The number of employees, the company activities and the possible branch offices/yards will be inspected and confirmed during the first audit in the company.

The inspection period can be changed also after the certification according to the yearly updated information about the number of employees, open and operative production places/yards, their complexity and geographical dislocation.

Should any discordance respect to the previous communication arise, both during the estimate request and yearly, the following possibilities could occur:

- reduction of the certification scope;
- definition of a further inspection to be carried out within a maximum period of 60 days;
- adequacy of the current inspection plan;
- deny of the certification.

Any extra charges due to the further inspections will be invoiced to the certifying/certified Organisation according to the ways provided in the offer.

In case of non-acceptance of the offer within 60 days, i.e. of non-beginning of the certification process within 12 months from the offer emission, should it have been accepted, it declines automatically without any penalties to be charged to the Organisation.

Furthermore this one has the possibility to represent, with the same modalities, a new estimate request which will be followed by the new offer by the CB.

The set of documents: "Application Form" (form M-DCT01-0106), “Economical Offer" (form M-DCT01-0103), “QMS

Certification Regulation" (form M-DCT01-0105) and, when applicable, "QMS-Addendum Certification Regulation" (form M-DCT01-0105A) is the contractual agreement between the requiring Organisation and the CB for the certification activity. The contract is valid, unless the client renounce according the ways under art. 9 of this Regulation.

The inspections will be carried out both at the Organisation offices and its production/operational sites, so as the IG can verify the real application of all requirements of ISO 9001 rule concerning the typologies of the activities to be certified.

All activities/works within the certification scope have to be verified at the production sites during the certification validity term.

In case AMTIVO decides not to accept an application for certification as a result of the application review, the reasons that led to the non-acceptance are documented and made clear to the client.

6.2 – Preliminary Certification Inspection

The CI can be preceded by a Preliminary Certification Inspection (PCI).

Upon request of the Organisation, AMTIVO carries out, before the certification process starts, a preliminary inspection in order to value the implementation status of the Quality Management System.

Such activity doesn't influence the forthcoming activities of the inspection process, which cannot undergo time decrease or changes of the defined procedure of the inspections due to particular results of the preliminary inspection.

For example, it won't be possible not to check any paragraph of the regulation, because already verified on the preliminary inspection, and to reduce the number of days/man foreseen in the offer as well.

The Preliminary Certification Inspection (PCI) is therefore in all respects outside the certification process.

The PCI take no longer than 1 day/man and are carried out following the same methodology as the ordinary documentary inspections. AMTIVO doesn't manage the feedback with the company (acceptance of the CA, closing checks, etc.).

The preliminary inspections are always charged to the client according to the current price list.

6.3 – Inspection Planning

At least 5 days prior to the date of each audit, the Lead Auditor (LA) sends the audit plan to the Organization, containing, among other things, the dates and the sites where activities will be conducted, the expected duration of the activities, the roles of the audit team members. The LA also develops an audit program for the full certification cycle, including, for initial certification, the initial audit (stage 1 + stage 2 audit), the surveillance audits in the first and second year, and the renewal audit in the third year. For subsequent certification cycles, the audit program starts with the decision of the certification renewal and includes both surveillance audits and renewal audit in the third year. The audit program covers all the requirements of the management system as a whole and may be revised by the LA at the end of each audit, in relation to changes to the certification requirements, legal requirements, accreditation requirements, as well as changes of any kind that might affect the compliance of the management system with the reference standard, the variation of conditions relating to employees and business activities included in the management system, the location of potential sites / temporary sites and the activities being carried out, etc.

6.4 Inspection Groups

Together with the audit plan, the Organisation is communicated the IG which will carry out the inspection. The Organisation can reject the IG by forwarding a written communication to AMTIVO within 5 days from the communication of the CB. The refusal has to be supported by grounded reasons. Upon request AMTIVO supplies any further basic information on each member of the IG.

AMTIVO IG always includes audit, QMS skills and competence in the working field of the Organisation with reference to the technical areas related to the audited Organization.

The tasks given to the audit team includes:

a) examination and verification of the structure, policies, processes, procedures, records and related documents of the client relevant to the MS standard;
b) determination that these meet all the requirements relevant to the intended scope of certification;
c) determine that the processes and procedures are established, implemented and maintained effectively, to provide

a basis for confidence in the client's MS;

d) communicate to the client, for its action, any inconsistencies between the client's policy, objectives and targets.

Moreover to the inspections can participate:

- training inspectors or observers of the CB:
- Organisation consultants.

These latest ones can participate as observers, therefore without any right to intervene in the inspection.

In order to ensure that the assessment procedures adopted by AMTIVO comply with the applicable standards, the Accreditation Body may require:

- The participation of its observers to the audits made by AMTIVO;

- Carrying out visits to the certified organization, directly using their staff.

The participation of observers to audit and / or the possible visit conducted directly using personnel of the Accreditation Body is previously agreed between AMTIVO and the Organization.

If the organization does not grant its approval, the validity of the certificate is suspended until it is not given the approval to verify, for a maximum period of 3 months.

Expired three months, in the absence of approval for the verification, certification is revoked.

The assessment methods used by the Accreditation Bodies are included in specific regulations and / or communications / circular available on their websites.

The Organization shall make available the Accreditation Body of the documentation that AMTIVO has taken as a reference during the previous audit.

In the case of additional unannounced surveillance visits or at short notice (usually one week), in paragraph 6.8 of this Regulation, the IG will be chosen with particular caution because the members can not be objected to.

6.5 – Inspection Management

Inspections of stage 1, stage 2, surveillance, renewal and the supplementary ones are organised as follows:

- an initial meeting with the Management and the Organisation Responsible people to confirm the scopes and modalities of the Inspection and the Inspection Planning;
- the inspection and the deepening of remarks arisen on previous documentary and/or field inspections and the verification of the acceptance of any exclusion;
- in case of positive result of the inspections under the previous point and of resolution of any possible interpretation divergence between AMTIVO and Organisation, the real audit includes the Inspection in the Organisation in order to measure the correct realisation of the QMS in compliance with the reference documents;
- a final meeting to show the Organisation Management results and conclusions by the IG about the conformity of the QMS to the reference standard, explaining any Non-Conformity, Observations and Comments. At the end of the meeting, the LA issues to the Organisation Management an Inspection Report describing the inspection results and any Non-Conformity, Observation and Comment (or send it via email within 5 days).

The inspection results and the findings level are ratified directly by the LA who, on behalf of the CB, has the authority to confirm the Organisation the obtained results on conclusion of the inspections.

6.6 – Inspection Follow-up

Should the IG, during the above inspections, incidentally, notice any non-observance of law requirements not concerning aspects directly correlated to the valued system but regarding other aspects of the activities carried out by the Organisation, for example aspects of environmental nature or linked to the workers' safety, without any duty to check such aspects, the IG has to inform the inspected Organisation Management through special "confidential" document different from the inspection report. Such aspect will be valued during the next inspection, excepted for special cases for which it will be requested to the Organisation by the AMTIVO technical management to solve it out in a determined short time.

In any case the results of the inspection of the IG are internally re-examined and in further case and formally ratified by the CB.

If the CB evaluation doesn't confirm the result reached and already ratified by the IG, the CB informs the Organisation accordingly in the shortest time as possible and anyway not longer than 10 days from the inspection through special written communication stating the changes to the previous result and their reasons.

Due to the Non-Conformities and the Observations ratified, the Organisation has to send the CB, in the agreed times and on special forms, the related corrections, the causes and the corrective actions and state the realisation time. These can be collected by the IG directly at the end of the inspection. Should the AMTIVO technical structure decide to change the inspection results, as above mentioned, the Organisation can be asked to send new corrections, causes, corrective actions and realisation time.

The CB values and approves the proposed corrective actions and, should it not consider them adequate, it informs the Organisation by written letter for the necessary reviews. The process for the certification release/maintenance/renewal cannot in any case go on until the Organisation sends the CB the necessary corrective actions; as a consequence the Organisation cannot undergo the analyse of the Technical Committee.

The Comments must be supported by the Organisation in writing. AMTIVO will check the related considerations on the next inspections (surveillance/renewal/supplementary). The Comments not supported can be reproposed as Observations.

6.7 – Certification inspections

The CI are carried out in two phases: stage 1 and stage 2 audit.

6.7.1 Stage 1 Audit

During the stage 1 audit the AMTIVO IG:

- checks the Organisation's QMS documents;
- values the Organisation site, including any particularities, and deepens the degree of preparation for the stage 2 audit with the company personnel;
- examines the level of adequacy and comprehension to the reference rule requirements, in particular regarding the most important aspects of the QMS processes, activities, performances and objectives;
- gathers the necessary information about the QMS application field, the processes and the equipment used, the levels of controls established, the sites, the reference legislative and regulatory requirements;
- re-examines the adequacy of the IG for the stage 2 audit, which it defines the details with the Organisation of;
- focuses on the planning of the stage 2 audit, acquiring enough knowledge of the QMS and the company's activities;
- evaluates if the internal audits and the management review are being planned and performed and that the level of implementation of the management system substantiates that the client is ready for the stage 2.

The stage 1 audit is carried out at the offices of the client Organisation.

As stated under point 6.5 of this Regulation, at the end of stage 1 audit, the LA formalises the results of the stage 1 inspection and communicates them to the Organisation.

Should the determined anomalies lead, during stage 2, to the emission of NC or more than 10 remarks, stage 1 and stage 2 audits will be divided into time suitable for letting the Organisation solve the remarks (not longer than 4 months otherwise it will be necessary to remake the stage 1 inspection).

Otherwise the stage 2 audit can start straight away after stage 1 audit. Anyway the stage 1 and stage 2 audit are usually separated for organizations with an equivalent number of employees exceeding 25; both cases, small company and exceptionally company > 25, whenever stage 2 will start at the end of stage 1 audit, will be properly justified in the stage 1 audit report. After the audit stage 1 may be reviewed the audit planning of stage 2, also in terms of man days and also to the needs of the customer to resolve problems identified in Stage 1. Should there not be any contrary communications, the planning of stage 2 audit already forwarded to the Organisation will be considered confirmed.

6.7.2 Stage 2 Audit

During the stage 2 audit, which is always carried out at the Client's head office, the AMTIVO IG verifies at least::

- the information and evidences about conformity to all requirements of the applicable MS standard or other normative documents;
- the performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable MS standard or other normative document);
- the client's management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements;
- the operational control of the client's processes;
- the internal audits and the management's re-examination;
- the management's responsibility towards the client's policies;
- the overall correlations between: the rule requirements, the policy, the objectives, the compulsory applicable requirements, the personnel's responsibilities and skills, the performances and the results of the internal audit.

At the end of the inspection, the AMTIVO IG analyses all the evidences arisen on the stage 1 and stage 2 inspections to re-examine every remark and agree the audit's conclusions. As stated under point 6.5 of this regulation, at the end of the stage 2 audit, the LA formalises the results of the inspection and communicates them to the Organisation.

Then the LA forwards its own inspection report to the AMTIVO technical structure.

6.7.3 – Procedure for the Certification Release

The documentation of the practice is examined by the AMTIVO Management before being submitted to the Technical Committee for the deliberation of the Certifications release. To have the certification practice analysed by the Technical Committee, at least one of the following conditions have to occur:

Condition 1

- Non-Conformity 0 (zero)
- Observations up to 10 (ten) included;
- Comments no limitation.

In such case the Organisation has to define for each Non-Conformity and Observation noticed by the IG the treatment and corrective actions carried out. Such activity has to be carried out by using the "Findings Management File" (form M-DCT01-0207). All forms M-DSG01-0207 filled in have to be transmitted always to AMTIVO as soon as possible. They can be collected filled in directly by the LA at the end of the audit.

The certification practice cannot be submitted to the committee if the AMTIVO Technical Management and the LA haven't checked and accepted on a documentary basis, and if necessary through a supplementary inspection, the positive closing of the Observations or the overcoming programme. Should a contrary communication by ASARCERT miss within 10 days from the receipt of the corrections and the CA, these are considered accepted.

In case of positive verification by the Technical Management and the LA, the practice is forwarded to the Technical Committee which can deliberate the certification release. With reference to the number and the importance of the Observations released, and the defined corrective actions as well, the committee can deliberate a Supplementary Surveillance Inspection (SSI) after the certification to be carried out by a time defined by the committee but anyway no longer than 6 months from the certification release date.

Such increase in the surveillance inspections needs guarantee that the Organisation measures are really effective, in a defined period of time, and in compliance with the Organisation Management System, made valid conc. the compliance with the certification general rules of the CB.

Should severe lacks of the effective application of the defined corrective actions arise during the supplementary surveillance inspection, the Technical Committee can deliberate the certification suspension.

To revoke the suspension, a new supplementary inspection SSI will have to be carried out. Such process is to be considered valid also for the planned surveillance inspections PSI.

The SSI carried out in this situation are charged at the Organisation.

In the other cases the practice cannot be submitted to the Technical Committee and in particular:

Condition 2

- Non-Conformity 1 (one) or more and/or;
- Observations over 10 (ten).

In such case, for each Non-Conformity and Observation noticed by the IG, the Organisation has to define the treatment and the corrective actions put into effect. Such activity must be carried out by using the "Findings Management File" (form M-DCT01-0207).

The certification practice cannot be submitted to the Technical Committee.

AMTIVO carries out a Supplementary Surveillance Inspection (SSI) to check the overcoming of the N-C noticed and at least the Observations overcoming programme.

In special cases, acceptable only by the AMTIVO Technical Management, the overcoming of the NC can be verified by forwarding Organisation's documents.

Should one or more documentary and/or supplementary surveillance inspections (SSI) lead the Organisation under "Condition 1", the practice can be submitted to the Technical Committee.

The documentary inspections and the SSI in this situation are charged to the Organisation.

If AMTIVO is not able to verify the implementation of corrections and corrective actions of any NC within 6 months after the last day of stage 2, another stage 2 will be conducted prior to recommending certification.

6.7.4 – Decisions for the Certification

Upon positive response of the Technical Committee, verified the fulfilment of the economical duties of the Organisation, AMTIVO issues the Conformity Certificate.

The CB sends the Organisation a letter to inform it about the obtaining of the Certification and encloses the Conformity Certificate. It includes: the Organisation's name, the address of its offices, the reference rules and/or regulations, the application object and limits of the certified Quality Management System, the date and time of the certification validity.

Further to the certification release, AMTIVO puts the Organisation's name into the list of the certified Organisations. Such list is updated in each meeting of the Technical Committee and is available to anyone requiring it.

On negative response of the Technical Committee inspection, AMTIVO sends the Organisation a communication stating the reasons of the certification release refusal and specifying if it is necessary to carry out a field supplementary inspection or documentary evidences are enough to lead the company back to the above Condition 1 or Condition 2, from which the certification process starts again.

The CSI meets periodically by AMTIVO and analyses some random certification practices to checks the right carrying out of the certification process by AMTIVO as far as the impartiality guarantee concerned.

Should potential irregularities arise during the inspection of the IG, which are not due to the Organisation, any necessary further inspections won't be charged to the Organisation. On the other hand, should any lacks be due to the Organisation, any extra charges for further inspections will be invoiced to the Organisation. The reasons of the extra inspections will be forwarded to the Organisation with the list of the related reasons.

Then the certification practice undergoes a new inspection by the specific Technical Committee which has to define the actions to be taken for solving any noticed remarks. AMTIVO won't take any suspension and/or revoke measures until objective evidences arise supporting the measure itself.

Within max. 120 days the Technical Committee has to make sure that the problems remarked by the Impartiality Safeguard Committee are resolved. After such term, AMTIVO, during the first meeting of the above committee, will have to prove the obtained results arising from the deepening.

In any case, the Organisation accepts and authorises AMTIVO to communicate the measure to the accreditation Body.

6.8 - Certification Validity, Surveillance and Maintenance

The certification is valid three years from the issue date reported on the Certificate (coinciding with the meeting date

of the Technical Committee which has deliberated) and undergoes 3 (three) "planned surveillance inspections" (PSI) by the Organisation, the first one is carried out within 12 (twelve) months from the date of the last day of stage 2 inspection, the second one by a year from the first inspection and the third by a year from the second one.

The third PSI coincides with the certification renewal inspection (CRI).

4 months earlier than the limit date to carry out the surveillance inspection, AMTIVO reminds the Organisation the expiry and encloses, generally, the invoice related to the audit, together with any forms related to the active building sites in case of Organisations of sector EA28. The precise audit date, and any building site to be visited as well, will be agreed between the Organisation and the LA.

Should the Organisation not have paid for the above invoice, anyway forwarded, yet on the surveillance inspection date, the certification can be suspended as per the hereunder art. 7.

The surveillance inspections aim to verify, at least:

a) internal audits and management review;
b) a review of actions taken on findings identified during the previous audit;
c) complaints handling;
d) effectiveness of the MS with regard to achieving the certified client's objectives and the intended results of the respective MS (s);
e) progress of planned activities aimed at continual improvement;
f) continuing operational control;
g) review of any changes;
h) use of marks and/or any other reference to certification.

Supplementary unannounced surveillance visits or at short notice (generally one week), can be carried out, should the CB decide to investigate complaints, or in response to changes, or as follow up on suspended clients. In this case AMTIVO shall exercise additional care in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members. The reasons to investigate will have to be supported by documentary evidences or written remarks to the CB. Should the IG during the inspections confirm the validity of the causes which lead to a Supplementary Inspection, the charges will be debited to the Organisation in the modalities defined on the agreement.

Should the IG indeed end the supplementary inspection without any evidence of the causes which led to the inspection itself, the charges will be on behalf of AMTIVO.

The certified Organisation has to promptly inform the CB in written about any severe changes made to the QMS. Such changes could require a special SSI according to the CB.

The maintenance of the Certification for the three-year validity undergoes the prescriptions under point 6.7.3. In particular, the certification maintenance is permitted on the occurring of Condition 1. Yet the AMTIVO management can carry out Supplementary Surveillance Inspections (SSI), according the number and importance of the Non-Conformities/Remarks noticed during the PSI, to measure the effectiveness of the treatments and of the implementer corrective actions.

On occurring of Condition 2 under point 6.7.3, AMTIVO determines the maximum time (usually no more than three months) to overcome the non-conformities and / or observations. After verification of overcome with a SSI (documental or on-site), the Technical Committee decided to maintain the certification. In case of failure by the deadline, AMTIVO suspend the certification to the Organization, as well as in art. 7.

Only through a SSI (documental or on-site), which leads to Condition 1 back, and after submitting the practice to the Technical Committee, AMTIVO can revoke the suspension measure.

The results of the planned surveillance inspections (PSI) and of the supplementary surveillance inspections (SSI) are analysed by the Technical Committee to keep the released certification. The Technical Committee can ask for any further extra inspections or deepening to the charged IG.

Other surveillance activities can include:

- enquiries from AMTIVO to the certified client on aspects of certification;
- reviewing any certified client's statements with respect to its operations (e.g. promotional material, website);
- requests to the certified client to provide documented information (on paper or electronic media);

- other means of monitoring the certified client's performance.

Any findings highlighted by this survey method, as the lacking of response from the customer, will be managed as described at point 6.7.3 – condition 1 or 2 – above.

6.9 - Certification Renewal

The decision to renew the certification is normally made by the expiry of the three-year validity of the certificate. AMTIVO can decide to grant the renewal of the certification even when the recertification process is completed within a year after the expiry date of the certificate (in this case the starting and end validity dates of the current certification cycle will be clearly indicated on the certificate, and the expiry dates of the previous certification cycle and the recertification audit date). Following the expiry of the certification, AMTIVO can restore it within 6 months, with a renewal assessment, provided that the pending certification renewal activities have already been completed, or after 6 months and within 1 year, with an assessment during at least as a stage 2 audit (and no less than the duration of a renewal).

In any case, if the certificate had a duration of less than 3 years, due to the postponed renewal, the principle that all the requirements and the whole scope of the certificate must be covered in the certification cycle, with surveillance assessments conducted at least once a year, remains fully applicable. If the assessment and decision activities are not completed within one year after the certificate expiration, it is only possible to proceed with a new initial audit (stage 1 + stage 2).

The planning of the Certification Renewal Verification is in any case carried out starting from the 4th month prior to the expiry date of the certificate.

With this advance AMTIVO reminds the Organization of the need to carry out the renewal audit and generally attaches the relevant invoice, together with the possible form on which to indicate the sites active in the case of sector Organizations IAF28. The precise date of the audit, as well as any construction sites to be visited, will be agreed directly between the Organization and the LA.

Should the Organisation not have paid for the above forwarded invoice yet on the inspection renewal date, the certification can be suspended as foreseen under the forthcoming art. 7. In any case the new certification will be forwarded only after the invoice payment.

The renewal audit is planned (also considering the results of previous audits) and carried out addressing the following:

- the effectiveness of the MS in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification;
- demonstrated commitment to maintain the effectiveness and improvement of the MS in order to enhance overall performance;
- the effectiveness of the MS with regard to achieving the certified client's objectives and the intended results of the respective MS (s).

The renewal audit considers the QMS performances in the previous certification period and includes the re-examination of the reports of all surveillance audits.

Should the QMS, or the surrounding situation, have undergone significant changes (for example in case of substantial legislative changes), AMTIVO can deem necessary to carry out a renewal audit divided into stage 1 and stage 2 as under the previous points 6.7.1. and 6.7.2 of this Regulation.

In case of multiple sites (art. 6.12) or certifications regarding more than one standard for management systems, the audit planning will be done with particular care, so that the on-site audit will cover all the legislative and standard requirements and all the organisation activities, in order to inspire confidence in the certification.

The RCI includes a new examination of the QMS documents and a revaluation inspection of the whole QMS according to the modalities described in the previous points 6.7.3 and 6.7.4.

The Certification renewal at the three-year validity expiry undergoes the prescriptions reported in point 6.7.3. In particular, the certification is renewed on occurring of Condition 1. Yet the AMTIVO management can, with regard to the number and importance of the Non-Conformities and Remarks noted in the CRI, carry out Supplementary Surveillance Inspections (SSI) to measure the effectiveness of the treatments taken and the implemented corrective

actions as well.

On occurring of Condition 2 defined under point 6.7.3, AMTIVO doesn't renew the certification to the Organisation. The certification practice cannot be submitted to the Technical Committee.

AMTIVO carries out a Supplementary Surveillance Inspection SSI to verify the overcoming of the NC noticed and at least the programme of the Observations overcoming.

In exceptional cases, acceptable only by the AMTIVO Technical Management, the NC overcoming can be verified according to the forwarding of documents by the Organisation.

Should one or more documentary inspections and/or supplementary surveillance inspections SSI lead the Organisation back to "Condition 1", the practice can be submitted to the Technical Committee.

The documentary inspections and the SSI carried out in such situation are charged to the Organisation.

The Technical Committee can ask any supplementary inspections or deepening to the appointed IG.

6.10 - Expansion and reduction of the certification scope

The Organisation can ask the CB to extend the certification to other activities, not included in the issued certification.

Similar request can be presented to the CB in case of reductions or exclusion of activities, according to the previous point 6.8.

The above extensions or reductions could need a revision of the conformity certificate previously issued.

Upon a written request, the CB will establish, further to the examination of the presented documents, whether a supplementary inspection has to be carried out or it can be avoided, by integrating it with the first planned surveillance/renewal inspection.

Changes to the certification scope can also be proposed by the LA to the Techincal Committee, through the records included in the audit report, based on the activities checked at the client's site(s) during the audit.

6.11 – Acknowledgement of the certifications released by other Certification Bodies - Maintenance and Renewal

Should AMTIVO receive an estimate request by Organisations already certified by other certification bodies, it carries out a re-examination similar to the one described under point 6.1.

Should the Organisation have been certified by a CB not accredited for the EA sector by a body signing the accreditation agreements EA, PAC, IAAC o IAF MLA or accredited for the sector EA by a body not signing the agreements EA, PAC, IAAC o IAF MLA, it will be issued an estimate for a new certification and the process will be the same as point 6.1-6.7.4.

Changes of the normal AMTIVO rules are not foreseen for the release of new conformity certifications.

Should the Organisation have been indeed certified by a CB accredited for the EA sector by a body signing the agreements EA, PAC, IAAC o IAF MLA, after positive verification of the certification and accreditation validity status, it can be issued an estimate for the certification maintenance, which will lead to a pre-transfer documental analysis (followed by a decision of the Technical Committee) covering at least the following aspects:

- Congruence between sector of actual activity and EA certification sector;
- Reason of the CB change;
- Accreditation status of the certifying CB:
  - Accreditation of the CB under validity for the specific sector;
  - Analyse of any possible suspensions/revocations warned by the CB on behalf of the accreditation Body;
- Status of the certification released to the Organisation
  - Certification in the process of validity;
  - Congruence between activities covered by the Management System and issued certification
  - Eligibility of any non-applied requirements.

- Analysis of the audit reports issued by the certifying CB on the last assessments up to the most recent renewal or certification audit and of the corrective actions defined by the Organisation.
- Any complaints received by the Organization and related actions taken.
- Possible implications of the Organization with Regulatory Bodies in relation to compliance with legislative and / or regulatory provisions.

Following the positive outcome of the aforementioned checks, the Technical Committee may express itself favorably on the certification transfer and the periodicity already in place regarding the subsequent surveillance and / or renewal assessments may be maintained.

So far as:
- it is not possible to make any contact with the transferring CB, or
- there is no confirmation on the validity of the certificate by the transferring CB, or
- there are not enough audit records (including checklists) for the current certification cycle, the pre-transfer documental analysis will be carried out partially or totally on site (if anything a new certification audit will be carried out in the event that there are no records available relative to the assessments of the current certification cycle)

the pre-transfer document verification will be carried out partially or totally onsite (if anything a new certification will be carried out in the event that there are no records available relative to the audit documents of the cycle in progress).

After the positive outcome of the pre-transfer documental analysis on site, the Technical Committee can express itself favorably on the certification transfer and the periodicity already in place regarding the subsequent surveillance and / or renewal assessments may be maintained.

In the event that the accreditation of the transferring CB is suspended, it is mandatory to carry out an on-site assessment of at least 1 manday before being able to transfer the certificate.

In the event that the accreditation of the transferring CB is revoked, it is mandatory to carry out an on-site assessment at least equal to a stage 2 audit, if within 6 months from the revocation, before being able to transfer the certificate. If more than 6 months have passed from the revocation, it is necessary to proceed with an initial assessment.

For the purpose of determining the audit duration, AMTIVO takes into account the provisions of the IAF MD5 guide.

In any case, the AMTIVO Management, in case of any technical needs, can increase the number of days compared to what is expected.

The continuation of the certification process then proceeds according to the same procedures defined by point 6.2. and subsequent. Following the issue of the certificate, AMTIVO will inform the previous CB.

6.12 - "Multisite" Organizations Certification, based on sampling

This paragraph is applicable to organizations engaged in similar activities in different sites, which have a defined headquarters, where the activities are planned, controlled and managed and a network of local offices or branches, where the activities are wholly or partly carried on. Processes at all sites must be the same type and be carried out based on similar methods and procedures. The QMS should be centrally managed and subject to central management review.

All relevant sites (including the central administration function) shall be subject to internal audit program and must have been audited before the certification process. The organization must demonstrate its ability to obtain and analyse data from all sites (including head office) and must also demonstrate authority and capacity to implement the necessary changes, if appropriate (eg data from documents and amendments to system, management review, complaints, AC, internal audit and evaluation of the results, changes in legislative requirements).

The sample size to be audited for certification, surveillance and recertification is determined by AMTIVO, according to, for example, the complexity of the activity, the size of sites to be audited and magnitude of the differences occurring between the different sites. Before the offer to the Organisation, must be provided all information necessary to identify the activities covered by the QMS and their complexity, including the peculiarities of each site, to allow an accurate identification of the sample.

The organization must provide to AMTIVO, when requesting offer, which sites are to be included in the certification and which to exclude. Where nonconformities arise at any site, even during an internal audit or an audit AMTIVO,

the organization must carry out appropriate investigations to verify whether the same anomaly can also occur at other sites. Any corrective actions must be undertaken both at central and at local level and in any case must be demonstrated to AMTIVO carrying out appropriate investigations in this regard. AMTIVO requires the evidence of actions taken by the Organization and may increase the frequency and / or sample sizes to make sure that control has been restored.

Where there are non conformities, certification will not be released to any site. It will not be eligible to exclude a site in process, if in that site were detected nonconformities, to solve the problem.

Documents relating to the certification will make explicit reference to activities and sites certificates. If a single certificate is released for each site, it will be made reference to the certification "multisite". All certificates will be revoked if a site fails to comply with any requirements necessary to maintain certification. The Organization undertakes to inform AMTIVO on the closure of a site included in certification. New sites can be added to the certification, usually during the surveillance audit or renewal, always respecting the rules listed above. The site / group of sites to be added will be considered similar to initial certification.

The criteria for making the sampling will be partly selective and partly coincidental. At least 25% of the sample will be chosen at random. We will try to select a sample that can include the main differences between the various possible sites within the validity period of certification. The site selection will consider, for example, the results of internal audits and management reviews, complaints, corrective and preventive actions, significant changes in the size of sites, changes in work shifts and procedures, complexity of the QMS and processes, changes compared to previous audits, maturity and level of knowledge of QMS of the Organisation, cultural differences, language and legal requirements reference, geographical dispersion. The sample can also be determined after the initial audit at Headquarters. In any case, the headquarters will be communicated to the sample to be audited.

In general, always respecting the above rules, the minimum number of sites to be audited is ½ n (n = number of sites) for the ICI, 0.6 n ½ PSI and 0.8 n ½ for the CRI. Its headquarters are always audited. The sample may still be increased by AMTIVO sites where large, complex activities, presence of shifts, changes in activities, complaints, results of internal audits and management reviews and in any other case where AMTIVO thinks that the risk that their assessment of the conformity of the QMS is not sufficient considering a number of sites following the rule above. The number of days / man for the verification for each site will be determined according to the requirements of the IAF document MD5 on the number of employees. The total number of mandays can not be less than that calculated using the IAF MD5 document where all employees work in a single site. In the event that the organization intends to add a group of sites to the certification, the group itself will be considered as an organization "multisite" for the determination for the sample. After the certification of the new group, the same will be accrued prior to the calculation of the sample on a PSI and CRI.

Art. 7 - Certification Suspension

The CB can suspend the certification validity for a determined period of time, should special situations occur such as:

- the Organisation has temporary suspended the QMS application;
- the Organisation doesn't permit the realisation of the PSI or SSI or RCI;
- the Organisation isn't available for inspections together with inspectors of the Accreditation Body;
- the corrective actions due to the remarked non-conformities are not carried out;
- it occurs irregularities in using the CB Mark and/or Certification or the CB Accreditation Body's Mark;
- the Quality Management System doesn't guarantee the respect of the products and/or services' compulsory requirements;
- the occurring of problems linked to the compulsory requirements of the offered product / service or the interested management system;
- the non-communication to the CB about any changes of its own management system;
- the non-communication to the CB about judiciary and/or administrative procedures;
- the condemnation of the Organisation for the non-respect of the compulsory requirements concerning the management system under certification;
- the missing management of complaints or remarks directly linked to the lacks of the certified management system.

- the Organisation's non-respect of the financial commitments towards the CB.

Should the Organisation ask for the certification suspension (for a period which shouldn't exceed 6 months), the AMTIVO management, after deepening the reasons, notifies the Organisation through a registered letter with return receipt, anticipated by fax, or certified email, the acceptance of the request and the terms under which the suspension can be revoked. The measure is then communicated to the Technical Committee during the first meeting.

Should one of the above administrative/accounting situations indeed occur, the suspension procedure is deliberated by the AMTIVO management, if necessary advised the Technical Committee qualified according to technical areas, also convoked in extraordinary meeting.

Should one of the above technical situations indeed occur, the suspension procedure is deliberated by the AMTIVO Technical Committee qualified according to technical areas, also convoked in extraordinary meeting.

In any case the AMTIVO Management notifies the Organisation through registered letter with return receipt, anticipated by fax, or certified email, the reasons of the taken measure, the suspension time (again generally not exceeding 6 months) and the terms under which it can be revoked.

The suspension measure enters into force on the date of the registered letter, or certified email.

The certification released and then suspended cannot be used in any case (for example participation to public contracts) from the day of receipt of the AMTIVO registered letter with return receipt or certified email.

The Organisation accepts and authorises AMTIVO to make the possible warned suspension measure public through AMTIVO website.

The suspension will be revoked only after the CB ascertainment of the satisfactory restoration of the compliance with the requirements specified through a SSI.

The suspension revocation measure is deliberated by the AMTIVO Management or by the Technical Committee qualified according to technical areas, in case summoned in extraordinary meeting, whether it was decided for accounting/administrative or technical reasons. The suspension revocation has effect from the date of the communication to the company.

The costs relating the arising supplementary inspections, at the AMTIVO offices and/or the company's office, are charged to the Organisation.

Art. 8 – Certification Revocation

The CB revokes the certification if the Organisation:

- hasn't eliminated, in the ways and times established, the terms which have led to the certification suspension;
- breaches the compulsory rules of the products/services covered by certification;
- stops the activities for which it had got the certification of its QMS;
- goes into liquidation or under judicial or extraordinary administration or a bankruptcy proceedings is open;
- has definitive convictions, become final, charged to its representatives, for facts regarding the non-respect of the compulsory requirements of the management system object of certification;
- doesn't respect, after reminder, the financial commitments towards the CB, in the stated terms.

The decision for the certification revocation is taken by the AMTIVO Management or the Technical Committee qualified according to technical areas, if necessary summoned in extraordinary meeting, generally according to the reasons' type: administrative/legal or technical. After the certification revocation the contract between the Organisation and AMTIVO is rescinded.

The certification revocation takes effect from the date of the communication transmission, anticipated by fax, sent by registered letter with return receipt or certified email by the AMTIVO Management to the certified Organisation.

The AMTIVO Management notifies the Organisation the measure reasons in the sent communication.

On the certification revocation the Organisation has to pay for a penalty equal to the 80% of the rate defined for the three years period of the certificate validity.

The certification revocation implies the Organisation cancellation from the list of the certified companies; the Organisation has to give the CB the original conformity certificate in its hands back and eliminate any copy, and stop

using the certification mark in any form and way as well.

The Organisation accept and authorisers AMTIVO to make the revocation public through AMTIVO website, and therefore to communicate the revocation measure to the Accreditation Body and, if applicable, to any other Institutional Body.

The CB reserves the right to ask the compensation for damages.

Art. 9 – Termination

The Organization may terminate the contract, by registered letter with R.R.:

- upon expiration of the validity period of the certificate, before its renewal and post second surveillance audit, giving formal cancellation of the contract within the 30 calendar days following the second surveillance audit of the three-year period;
- in the case of changes specified at art. 10;
- at any other time, with the payment of a cancellation fee equal to 80% of the agreed amount for the validity of the three-year period of the certificate, provided by the valid contract.

The issued certification ceases its validity on the expiry day specified on the certificate, in the case in which the renunciation occurs after the second surveillance audit, or, in the other cases, on the date planned for the execution of the surveillance audit, for which the Organization is no longer available.

The Organization accepts and authorizes AMTIVO to make public through its website, and to transmit it to the Accreditation Body, as well as to other Bodies, if applicable, the termination of the validity of the certificate.

Art. 10 – Changes to requirements for certification

In case of changes to the requirements for certification and/or to this Regulation, except for the necessary or the related to normative or the regulamentary ones, among which the changes of the reference documents under art. 2 in an unexhaustive way, or related or consequent to themselves, or the changes necessary or related to the respect of regulations, instructions or fulfilments necessary and/or suitable for obtaining or keeping the AMTIVO accreditation, the CB will inform the Organisation and state the kind of changes and the date within which the Organisation will have to adjust.

The Organisation, in case of non-acceptance of the proposed changes, can reject the certification through written communication to the CB according to the modalities under art. 9, i.e. by registered letter with return receipt, with effect as from the date of the receipt by AMTIVO, only if such changes are substantial and important for the change of the CB certification scheme and/or this regulation and are substantial and too expensive for the Organisation causing severe changes in the company's management system and ordinary operativity.

Any costs for evaluation activities arising from the above changes will be charged to the Organisation.

AMTIVO verifies that each certified client complies with the new requirements either during the first audit, or through records sent by the client and/or through SSI.

Art. 11 – Responsibilities and Duties

11.1 - Compulsory Requirements linked to the management system and limits of the related controls.

The QMS certification doesn't relieve the Organisation of its responsibilities towards the clients and the third parties in general and of the fulfilment to carry out its activities for the conformity of the supplied goods and services, the regulations from Laws and other acts having the binding force of a law (such as Directives and Regulations), or from technical rules, applicable contractual bonds and/or agreements.

The certification concerns only the conformity of the Organisation's management system to the reference rule and therefore isn't a certificate of the respect of the above compulsory requirements.

The CB has the responsibility of verifying, according to a sampling compared to the audit time, that the Organisation knows and is able to manage all the compulsory aspects linked to the management system subject of the certification.

Therefore the Organisation is the only responsible for the respect of the legislative instructions in force related to the Organisation itself and/or the supplied products/services, except for any guarantee responsibilities or duties by the CB.

Furthermore the Organisation commits to supply all the AMTIVO IG members and any possible Observers all the necessary information about the specific risks of the working environment where they're going to operate, the adopted prevention and protection measures and the established emergency plans, and supply all the necessary Systems of individual Protection as well.

11.2 – Duty to inform about eventual current legal and/or administration Procedures

Should AMTIVO receive official information about involvements in legal proceedings due to laws on the responsibilities from product or breaches of laws concerning the supplied products and/or services and anyway regarding the system subject of certification, the Management will officially forward such information to the Technical Committee and to the accreditation Body for its competence.

Furthermore the Organisation commits to promptly inform the CB of all the different situations noticed by the Inspection Authority and any suspensions or revocation of authorisations, licences, etc. concerning the production/supplying of products/services linked to the certification as well.

Moreover it has to immediately communicate the CB any judiciary/administrative proceedings in progress, regarding the subject of the certification, except for the limits imposed by Law. The Organisation has to constantly inform the CB about such situations evolving.

11.3 – Clause of responsibility limitation

The Organisation commits to guarantee the completeness and truthfulness of the documents and the information put at the charged IG disposal.

The CB is expressly excused from any responsibilities in case of missing or incomplete data communication, and in case the data themselves don't correspond to the real company's situation as well.

If AMTIVO requirements for issuing certifications fail, AMTIVO gives prompt notice to the clients. The Parties expressly agree that AMTIVO will be liable for possible damages in favour of the customer, and only after the decision specified under Art. 16 of this document, within the limits of the sums paid by the customer for the annual surveillance audit.

11.4 – Maintenance of the conformity of the Management System to the requirements and possible changes

The certified Organisation commits to maintain its structure in conformity with the requirements demanded by the rules stated in the certification, during the whole period of the certification validity.

In case of changes regarding:

a) the legal, commercial, organizational status or ownership;
b) organization and management (e.g. key managerial, decision-making or technical staff);
c) contact address and sites;
d) scope of operations under the certified MS;
e) major changes to the MS and processes.

the Organization will have to give preventive written communication to the CB, which can accept the variations or arrange the execution of a supplementary surveillance inspection.

Particularly should the Organisation intend to modify the scope of certification, it has to send a written request to the CB; with reference to the requested changes, AMTIVO will value the necessity to carry out a Supplementary Surveillance Inspection.

Art. 12 - Management of certification mark, conformity certificate and information related to certification

12.1 – Authorisation

With reference to the communication of the release of the conformity certification to the standard ISO 9001 and during the period of validity of the certification itself, the Organisation is authorised to use the certification mark, the certificate and the information related to certification in the ways and terms described in the following points. The certificate and the file including the certification mark to be used are sent to the Organisation after the positive decision of the AMTIVO Technical Committee and should there be no outstanding administrative invoices.

12.2 – Characteristics of the certification mark

The mark use is optional; yet, if the certified Organisation would like to make use of such faculty, it will have to use the mark according to the following specifications.

The certification mark recalls the AMTIVO Company's logo, that can be used by AMTIVO only.

The AMTIVO company's logo is made up of the following elements:

the Logo (writing AMTIVO), the sketch of the lozenges, the horizontal line, the abbreviated name “Assessment & Certification”.

AMTIVO Logo

The following figure 1 represents the AMTIVO mark for ISO 9001 certification. The mark graphic develops horizontally. From left to right: the AMTIVO Logo, under this one the line and right here under the expressions “ISO 9001” and “Quality Management System” .

Figure 1

For the detail related to the coupling between the AMTIVO certification and the Accreditation Body mark, which the Organisation can use if AMTIVO has the accreditation in the specific sector EA, the regulations of the mark have to be respected, which is stated in the Accreditation Body's site, in any moment in the updated version, in addition to the requirements of the present article.

The Marks, or their combinations, used on documents or website can be reduced respecting the readability needs and keeping the dimension ratio. Likewise, for applications on big-size objects, the Marks can be enlarged, always keeping the dimension ratio.

The surveillance on the correct structure of the AMTIVO certification mark and the Accreditation Body mark, and on their right use as well, is carried out by AMTIVO both through the surveillance inspections and the documents and/or documentary information found on the market.

12.3 – Use of the certification mark and the conformity certificate

The mark can be used, combined to the certified Organisation's name/mark on headed paper, stationery, advertising and promotional material, but it cannot be used on a product nor product packaging, or applied in such a way to be mistaken for a product certification or to be extended to other schemes or systems not included into the conformity certification released by AMTIVO. The AMTIVO mark cannot be affixed to laboratory test, calibration or inspection reports or certificates.

It's very important that the system certification isn't confused with a product certification and that it is not extended to other sites which are not part of the released certification scope. There shall be no ambiguity, in the mark or accompanying text, as to what has been certified and which CB has granted the certification.

The Conformity Certificate can be used by the certified Organisation with informative aims, as long as it is reproduced faithfully in each part; it can be enlarged or reduced uniformly as long as the content remains readable and the contours and contents are unchanged.

The certified Organisation has to assure that the use of the mark and the certificate is enough for a correct information towards third parties concerning its activities really covered by the obtained certification.

Revisions of the conformity certificate, arisen by any kind of change - for example revision of the reference standard, change of the company name, etc. - will be invoiced at the rate of 100 € + VAT or as otherwise specified in the AMTIVO offer or in other document. Also any possible communication regarding the certification validity or the certification process status will be invoiced at the same rate.

Furthermore, the certified organization must not make, or permit, statements that may mislead about certification.

Statements on product packaging (that which can be removed without the product disintegrating or being damaged) and on accompanying information (that is separately available or easily detachable) shall in no way imply that the product, process or service is certified by this means, and shall include reference to: identification of the certified client, the type of management system and the applicable standard, the certification body issuing the certificate).

12.4 – Incorrect use of the certification mark and/or the conformity certificate and provided information

Should occur an incorrect use of the certification mark, of the accreditation Body's mark and/or of the conformity certificate or should the client provide incorrect information, that is should the certified client:

a) not conform to the requirements of AMTIVO when making reference to its certification status in communication media such as the internet, brochures or advertising, or other documents;
b) make or permit any misleading statement regarding its certification;
c) use or permit the use of a certification document or any part thereof in a misleading manner;
d) upon withdrawal of its certification, continue its use of all advertising matter that contains a reference to certification;
e) not amend all advertising matter when the scope of certification has been reduced;
f) allow reference to its MS certification to be used in such a way as to imply that the CB certifies a product (including service) or process;
g) imply that the certification applies to activities and sites that are outside the scope of certification;
h) use its certification in such a manner that would bring the CB and/or certification system into disrepute and lose public trust;

or should the mark be used on the products, packing, adhesive tape, product technical sheets, lab certificates, etc., AMTIVO will have to take measures towards the certified Organisation considered suitable for protecting the integrity of its own image and safeguarding the organisations and/or people who can be misled because of the incorrect use of the above documents or of the incorrect information provided.

12.5 – Corrective actions

After an incorrect use of the certification mark, the accreditation Body's mark and/or the conformity certificate, AMTIVO asks the Organisation for adequate corrective actions which leads to the restore of a suitable use of themselves.

In any case, the corrective actions will be defined considering the type of incorrect use and its consequences; legal actions can be taken should the mark and/or certificate haven't been used in accordance with the contractual agreements.

The corrective actions requested by AMTIVO will have to immediately be carried out by the Organisation.

12.6 – Certification suspension

Should the incorrect use of the certification mark and/or the conformity certificate have led discredit to the image of the CB, AMTIVO can suspend the certification released to the Organisation and ask for the compensation of any damages. The suspension notify will be sent to the certified Organisation through registered letter and a copy to the Accreditation Body, if the released certificate is under accreditation.

The certification suspension can be decided by the CB also if the Organisation refuses to carry out the corrective action requested because of an inappropriate or incorrect use of the certification mark and/or the conformity certificate.

Art. 13 – Protection of the personal data

In compliance with the legislation of personal data protection, the "preventive informed consent" by the Organisation

is essential condition for the CB in order to carry out contractual relationship and the related evaluation and certification activities. AMTIVO guarantees the most complete confidentiality and care of the data, which will be treated according to regulation in force.

In particular AMTIVO guarantees to the client that:

- Official holder of the data is AMTIVO ITALIA (UK) Ltd.
- During the fulfilment of the service, employees and/or collaborators can get to know about the data, which are from time to time interested or involved in the respective duties, according to the received information. The list of the people in charge is constantly updated and can be communicated together with more detailed information on subjects who can be informed of the data as a delegate upon specific request at the AMTIVO ITALIA (UK) Ltd office.
- The entrusted data won't be give up or communicated to third parties, i.e. Organisations, legal bodies, natural person not collaborating with AMTIVO and not signing with it a contract for the Clients' information confidentiality. The data treatment will be therefore assigned exclusively to inner or outer personnel, who has subscribed with the AMTIVO management commitment to guarantee the confidentiality (gentlemen's agreement).
- The AMTIVO information systems are adequately protected from external intrusions and from the internal ones as well. All systems are in accordance with the law as for the adequacy to the consolidation act on privacy.
- The Client is given full and complete leave to require the immediate cancellation and/or destruction of the personal data except for the ones AMTIVO is obliged to keep by law (tax documents - both papery and electronic). In case of cancellation, AMTIVO won't be able to carry out any activities, should this request occur during the service supplying, and will stop the activities in progress, reserving the faculty to ask the Organisation for the whole amount agreed in the contract/offer.
- The use of the personal data for the sending of commercial documents will be carried out only and exclusively without the aid of automatic systems, with the immediate possibility that such sending are suspended immediately.
- The complete and wide report on the personal data is available upon request. Such report will be released in case of signing of the contract for the services supply or upon request from the Client or potential Client.

On signing this Regulation, the Organisation, informed about what above specified, authorises AMTIVO to treat the data described in the hereunder list as confidential information, in compliance with its policy of data protection and with its processes that ensure the secure handling of confidential information, and in particular authorises AMTIVO to:

1. treat the personal data and any possible sensible and judicial data necessary for supplying the service;
2. treat the personal data and any possible sensible and judicial data by using protected information technologies;
3. use communication systems with the client to send informative reports, also commercial ones;
4. public information regarding issued certificates, suspensions and/or revocations;
5. communicate information regarding revocation, if applicable, to Institutional Bodies or other Bodies;
6. inform anyone of the certification validity status, when requiring it (for example if the certification is suspended, revoked or reduced);
7. communicate, upon request, the name, related normative document, scope and geographical location (city and country) for the certification of the Organization itself;
8. treat the information concerning the client from sources different from the client itself (for example complainant, regulators).

Art. 14 – Complaints

The Organisation can make complaint, in words or in written, about its contractual relationships with the CB. Such complaint can arise from problems occurred during the certification process, such as, for example, delays in the fulfilment of the different phases or behaviours considered incorrect by inspectors or the CB personnel. Complaints can be made to AMTIVO also by clients of AMTIVO certified Organisations or by third parties towards the

Organisations themselves.

The CB arranges the recording of the complaints (confirming the receipt to the complainant within 5 working days), analyses them and informs the claimer within 30 (thirty) days about the decided actions.

Submission, investigation and decision on complaints shall not result in any discriminatory actions against the complainant.

Art. 15 – Appeals

The appeal springs from the Organisation's dissent from a decision taken by the CB on the certification process.

The appeal has to reach the CB in written within 30 days from the document date, which it is referred to, and include the complainant's data, the reference to the act against which it has been lodged and the reasons, supported by any documentary evidence. AMTIVO confirms in written the receipt within 5 working days, within 30 days supplies reports on the results and, when applicable, on the progress.

The decisions concerning the appeal are taken, re-examinated and approved by the AMTIVO management and anyway not by subjects involved in the appeal contents, who are in any way advised. Should the appeal result not be accepted by the Organisation, the dispute will be handled by a Commission made of a CB representative, an Organisation representative and a third party, as a President, appointed by the previous ones by mutual consent to re-examinate the appeal and come to a friendly solution of the dispute itself.

The presentation of appeals, their re-examination and relative decisions will not produce, from AMTIVO, any discriminating action towards who presented the appeal.

Art. 16 – Contentious procedures

All disputes unsolved by the application of art. 15 can be referred to the decision of a Single Arbitrator to be appointed in compliance with the Regulations of the National Arbitration Chamber of Milan - Italy.

The Parties declare expressly to know and accept the mentioned National Arbitration Regulations. The Single Arbitrator decides customary and fairly, in compliance with the mandatory provisions of the Italian Code of Civil Procedure (art. 816 and following CPC).

The costs are charged to the losing Party at the rate of 80%.

For acceptance of this Regulation and its changes and/or integrations (the Organisation commits to periodically consult the web site www.amtivo.com for any change):

Date: _____ Signature of the Legal Representative: _____