

Certification body identification data:

Company full name: *e.com*-CERT International Certification Bureau Rendszertanúsító Ltd
Abbreviated name: *e.com*-CERT Ltd.
Seat: H-1061 Budapest, Paulay Ede Street 46
Office and Post: H-1027 Budapest, Kapás Street 19-29., 1st floor 104.
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Legal identification data:

Company registration number: Cg.: 01-09-694672
Tax number: 12607013-2-42
EU Tax number: HU12607013
Established in year: 2000.

e.com-CERT Ltd. carries out auditing and certification activities at the field of standard management systems.

The basis for the audit and certification process of the ISO/IEC 17021-1: 2015; ISO/IEC 17021-2: 2016; ISO/IEC 17021-3: 2017, ISO/IEC TS 17021-10:2018 and ISO 50003:2015 standards are.

We only accept commissions through contractual legal relationship. We carry out our activities without any discrimination, conflict of interest, bias, objectively, correctly, and without any commercial and other effects as an independent certification body. This policy is well documented and communicated for all prepared organizations.

Our procedures are accessible for our clients in our office completely, while on our website partially.

We detail the most important rules and procedures regarding the acquisition and maintenance of a certification.

1./ Conditions of certification eligibility, initial certification audit:

Initial certification audit has to be performed in two phases. Following the contracting, the lead auditor contacts the organization, and performs the first phase of the audit according to its goals.

The client has to verify with documents that they've conducted a complete internal audit and management review until the certification audit is done, as well as the first phase of the initial audit has to be successfully executed. The organization has to verify the successfully operability of their processes addressing continuous improvement.

Phase two may be initiated following the successfully closure of phase one.

Phase two is performed by an appointed auditor group based on a previously coordinated and documented audit plan.

Certification cannot be granted in case of serious noncompliance or any of the following conditions occur:

- a) legal nonconformity identified by the auditor group during the audit process
- b) higher scale noncompliance of standard requirements
- c) organizational policy non fulfillment
- d) identified fundamental professional improprieties
- e) non fulfillment of continuous improvement

If the auditor team uncovers any noncompliance during the audit that is well defined by the client and can be verified by an operating program and has an improvement purpose, then this should be registered as mild noncompliance. Such mild non-compliances and their corrective actions should be reviewed during monitoring audits.

Aside of serious non-compliances, everything else counts as noncompliance (eg.: lack of context in the documentation, etc.). Until the end of the audit, the certification body declares about the planned corrective actions of any mild non-compliances at the related template. This declaration is then reviewed and may be approved by the auditor.

2./ Certifications

e.com-CERT Ltd. audits and certifies the management system of the clients by a specific standard, or other given standard and normative reference on its own procedure. We can audit and certify the standard management systems of ISO 9001:2015, ISO 14001:2015, ISO 45001:2018 and ISO 50001:2018 on the basis of the accreditations issued by the Hungarian National Accreditation Authority. (NAH)

The certification highlights those actual activities that the client organization carries out at a given place and under strictly demarcated regulation.

The certification is administered with a unique registration/identification code by *e.com-CERT Ltd.*

The validity period of a certification is 3 years. Following this period, a renewal audit is carried out to expand its validity. Within the validity period, an annual monitoring audit must be carried out.

The area of validity and authority of the area of validity of certifications granted to the clients are determined as follows: *e.com-CERT Ltd.* clearly identifies the activities, as well as their geographical (sites) locations that are the subject of the certification, together with the client. This process takes place already in the contracting phase while it's being further specified by the lead auditor and the client organization during the audit phase.

3./ Surveillance audit

Certifications granted by *e.com-CERT Ltd.* are valid for 3 years. Within this period, an annual monitoring audit must be carried out.

First surveillance audit has to be carried out within 12 months following the certification decision, while the second consequently within 24 months.

During Surveillance audits we review the effectiveness of the already operating system.

During the review we focus on the following:

- the successfulness of the annual internal audits and actions taken,
- annual management review,
- effectiveness of corrective actions and corrections of previously identified non-compliances,
- investigation of received complaints, and actions taken,
- changes in the system regulating documentation,
- changes related to the areas (sites),
- the practical effectiveness of the given system in achieving policy and goals,
- the progression of activities addressing the continuous improvement of the system's performance,
- appropriate usage of the certification logo and the certification,

4./ Certification expansion

Instances of extension:

- a) whenever the client involves new activities into its management system
- b) whenever the client
 - unchanged activities
 - involves new sites into its management system, or there is a change in the existing sites

5./ Certification limitation

Instances of limitation:

- a) whenever the client pulls out activities from its management system
- b) whenever the client pulls out sites from its management system
- c) as a result of an audit based on the suggestion of the audit leader

6./ Certification suspension

Client's certified status gets suspended if:

- a) if the client doesn't fulfill the noncompliance correction obligations for deviations found during a review within the given time frame
- b) if there's any occurring objection regarding the sites/activities of the client based on their gravity (eg.: serious contract breach)
- c) upon client request for a maximum of 6 months. This period closes with a monitoring/extra audit

Suspension period doesn't mean the prolonging of the validity time.

7./ Certification withdrawal

Certification gets withdrawn if:

- a) the client doesn't secure the opportunity for a review/inspection
- b) the client's management system is constantly deviating from the relevant standards (a given non conformity doesn't get resolved for an extended period of time. Eg: non-fulfillment of goals)
- c) the client doesn't fulfill the conditions included in the commission contract with *e.com-CERT Ltd*
- d) the client gets involved in a bankruptcy procedure or/and legally ceases to exist
- e) the client transforms, its name changes etc. (continuity cannot be secured)
- f) the client's certification gets limited
- g) the client did not terminate the causes that led to the suspension of their certification
- h) the client doesn't request the maintenance of its certification after its suspension

All copies of withdrawn certificates have to be sent back to *e.com-CERT Ltd*.

8./ Certification renewal

A renewal audit is a one-time thorough review of a management system already in operation for which a certificate has already been granted either by *e.com-CERT Ltd.*, or another certification body.

A renewal audit can be performed until the expiry of an already existing certification upon written request from the client. Contract has to be made with the organization applying for a renewal audit.

The condition of the execution of a renewal audit is the closing of the deviances unveiled during the previous certification period.

After the renewal audit, a positive certification decision must be made even before the certificate expires.

In case of “adaptation” of a management system certified by another certification body, qualification has to be interpreted as renewal audit, by taking the above mentioned into account.

In case a company is applying for renewal with an already expired certification, *e.com*-CERT Ltd. cannot acknowledge the continuity.

9./ Extra audit

An extra audit may be necessary to perform at an already certified client in relation with an extraordinary event (complaint, changes, at the closing of a suspension, etc.). In this case, the CEO of *e.com*-CERT Ltd. decides about the execution of the audit and about the audit conditions.

10./ Registry of certified organizations

e.com-CERT Ltd. has a registry about the organizations certified by them. This registry contains the name of the organizations, site addresses, certification subject and applicable standards, contact information, and public company data.

Certified organizations can check the validity of their certification at *e.com*-CERT website by typing the certification registry number. This function is also available to the partners of the certified organizations.

11. Notification from the client about changes

The client is obliged to report any changes to the certification body that have an effect on:

- a) Legal, commercial, or organizational form or ownerships
- b) To the organization and management (pl.: head management, decision makers or technical staff)
- c) To the contact address and sites
- d) To the field of operation of the certified management system
- e) Changes in the management system and procedures

12./ Usage of *e.com*-CERT Ltd. granted certifications, logos (certification symbols)

Usage of the certifications granted by *e.com*-CERT Ltd. is valid for three years. Following a renewal audit, another three years period may start by granting a refreshed certification with another three years of validity.

Usage of *e.com*-CERT certification logo is available by making a separate contract. Certification logo may be used as long as the client has a valid certification status.

e.com-CERT Ltd. hands over the certification on paper in a printed format while the logo is handed over in an electronic form.

Usage of certification symbol:

- a) *e.com*-CERT Kft. certifications and logos may be used by any certified organizations that acquired their certification according to *e.com*-CERT regulations.
- b) The certification symbol „*e.com*-CERT symbol” may be highlighted on any documents that the client uses during their certified activities.
- c) In case the client have different activities that are not covered by the certification, the symbols cannot be highlighted on any documents that are related to the activities that are not covered by the certification. Certification symbols can only relate to the given sites.
- d) Organizations certified by *e.com*-CERT Ltd. are authorized to use *e.com*-CERT symbol in their own system combined with their own logos. Rules and methods of such usage have to be approved by *e.com*-CERT Ltd.

- e) Certification symbols are not allowed to be used for product, service notation, laboratory inspections, calibration, or in reports about inspections. The symbols can only be used in relation to the organization's given management system.
- f) Symbol usage is supervised by *e.com-CERT Ltd.* (PR material supervision in relation to a given company).
- g) Symbol usage has to be suspended on any documents it was previously used on during suspended certification status.
- h) Following the expiry of the certification or at the end of the certified status, symbol usage has to be immediately terminated.
- i) Partners of *e.com-CERT* may use the *e.com-CERT* logo on their website and on advertising material. The logo has to be placed at least 5 millimeters away from any other symbols. Scaling is only allowed by maintaining proportions and by maintaining visibility by the naked eye. Color usage in relation with the logo is not specified.

13. Logo appearance of the certified organization

The client may ask the certification body to use their logo on the certification prepared by *e.com-CERT Ltd.* as well as they consent to the usage of their (client's) logo by *e.com-CERT d.o.o.* for advertising (website, brochure) purposes.

14./ Management of complaints and appeals addressed to *e.com-CERT Ltd.*

- a) Appeals are considered as objections against the decisions made during the certification process (certification granting, rejection, suspension, withdrawal, extension or limitation). The evaluation of any appeals received by *e.com-CERT Ltd.* is the responsibility of the head management. Appeals against the certification decisions can be made within 30 days after the certification decision. Appeals have to be handed over in written to the CEO. The head management gathered by the CEO –by involving a case independent person- going to evaluate the appeal. A resolution is made within 14 days after the receiving of the appeal. With further appeals against the decision can be handed over to the competent court according to the seat of *e.com-CERT Ltd.* Appeal investigation fee is calculated based on the actual time requirements, and material expenses. Fee distribution is a matter of negotiation between the parties. The process may continue after this agreement is made.
- b) Complaints are not regulated in the contract, but we consider cases requiring their investigation or any negative opinion regarding the service. We will investigate the complaint within 14 days, the result of which will be communicated to the complainant.
Complaints are handled and judged by the CEO or a designated person as well as makes the corrective actions. Expenses for these corrective actions is paid by *e.com-CERT Ltd.* in case their responsibility is unquestionable. Otherwise the parties share the expenses proportionally, or the complainant pays for it
- c) See also general business conditions and the certification *e.com-CERT LTD.* Rules.

15./ Complaints management received by the certified organization

e.com-CERT Ltd. checks during the monitoring audits if the client has a registry about the incoming complaints regarding their management system, and about the corrective actions for these complaints. Complaints may indicate possible non-compliances therefore they serve as valuable information. During monitoring audits in the complaint review stage *e.com*-CERT Ltd. checks if the company identified and documented the cause of the non-compliances.

Investigating the complaint gives opportunity to plan the corrective actions that include the following:

- termination of the root cause of the event,
- informing competent authorities if regulations require,
- restoration of compliance as soon as possible,
- preventing the reoccurrence of the issue,
- evaluation and mitigation of the possible negative environmental effects,
- securing appropriate cooperation with other factors and systems of the management system.

Corrective actions cannot be deemed finished as long as the effectiveness of the above is not checked, and the necessary changes in the procedures, documentations and records is not performed.

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general director

Budapest, February 15; 2021.