

Revision 05	Effective as of 2009/01/06	Testing and Certification Regulations	 South Asia
Doc No. TSSA_CCU_43	Page 1 of 6		

General Terms and Conditions

1. General

- 1.1. These Testing and Certification Regulations apply to auditing and certification by TÜV SÜD South Asia Pvt. Ltd. (hereinafter referred to as TÜV SÜD). TÜV SÜD also offers its clients services, for example: supplying information about the certification procedure, pointing out improvement potential without suggesting specific solutions etc. Consultancy on management-system establishment is not provided. When a desired scope of certification/ registration is related to a specific programme, any necessary explanation will be provided to the applicant. If requested, additional application information will be provided to the applicant.
- 1.2. With receipt of the first certificate or confirmation of verification, clients automatically become partners within the TÜV SÜD certification system and remain so, at a minimum, for as long as this certificate / confirmation is valid. Certificates only become valid furthermore after all TÜV SÜD requirements associated with system auditing and certification have been satisfied.
- 1.3. With each order, the client accepts the current version of the General Terms and Conditions of Business, the Price List/Offer and these Testing and Certification Regulations. Already existing contractual relationships are governed by the currently valid versions of these documents. Prior to placing an order, the client shall inform TÜV SÜD if the planned audit or certification has previously been the subject matter of a comparable contract concluded with another organization.
- 1.4. The certification body evaluates the documents submitted by the auditors. It decides whether a certificate will be issued and handles disputes concerning the certification process. A complaints and appeals procedure has been established.
- 1.5. In cases involving certification systems subject to accreditation, the client declares that he/she is willing to allow auditors from accreditation bodies to participate in witness audits conducted on the client's premises and to provide the accreditation bodies with audit reports on request.
- 1.6. In case of multisite certifications, the ISO 9001 certificate cannot be issued unless all the site that are covered under the certification scheme have ably demonstrated compliance to the requirements of ISO 9001 standard.
- 1.7. The ISO 9001 audit is based on sampling at each site and the outcome of the audit is based on the quality of the samples selected. The audit does not absolve each site from ensuring that systems are followed in totality. The outcome of the audit is also not an indication that the quality of the work at each site and also all requirements at that site are followed in totality.

2. Expiry or withdrawal of certification

- 2.1. A certificate expires, if:
 - 2.1.1. The indicated period of validity has expired;
 - 2.1.2. Certificate holders terminate the certificate or their membership in the certification system in writing, observing a three-month period of notice prior to the next surveillance audit;
 - 2.1.3. certificate holders object in writing to amendments of the General Terms and Conditions of Business, these Testing and Certification Regulations or the Price List (only applicable to price increases > 5 %) within 6 weeks after such amendments have come into effect or within 6 weeks after the certificate holder has been in a position to become cognizant thereof;
 - 2.1.4. Proceedings based on the Insolvency Ordinance are opened with regard to the assets of the certificate holder or if a petition to open such proceedings is rejected for lack of assets;
- 2.15. certificate holders discontinue their business operations;

Testing and Certification Regulations



- 2.1.6. the statutory requirements (the requirements defined by an accreditation body or the standards on which the certificate is based) change, unless the certificate holder demonstrates that the system is in line with the new standards through re-auditing carried out by TÜV SÜD at the certificate holder's expense within a certain fixed period;
- 2.1.7. The underlying (main) certificate becomes invalid (in cases involving matrix certifications).
- 2.2. The certification body may withdraw a certificate without notice or declare it invalid, especially if
- 2.2.1. The continued use of a certification mark/certificate is no longer justified in terms of its relevance for the market or is prohibited, for example, by competition law; in this case, TÜV SÜD will provide an alternative mark, if possible;
- 2.2.2. Misleading or otherwise unauthorized advertising, particularly in connection with the certification mark or the certificate is used, or the certification mark or certificate is misused; For Example
- A. Use on product, Test certificate, Calibration certificate, Lab test result.
 - B. Also does not make advertisements which give an Idea on product Certification
 - C. Advertise beyond the scope of the certificate
- 2.2.3. non-conformances are detected in the system and the deadlines (15 days from date of audit) for elimination of these non-conformances by means of corrective action are not observed, or key prerequisites of the certified system are no (longer) ensured;
- 2.2.4 The certificate holder fails to pay outstanding invoices to TÜV SÜD, despite receiving reminders to this effect. In the event of partial non-payment, too, all certificates may be withdrawn;
- 2.2.5 The certificate holder files a petition for the initiation of proceedings based on the Insolvency Ordinance or third parties initiate compulsory execution measures related to the certificate holder's rights arising out of the certification. The certificate holder shall notify TÜV SÜD immediately of such measures;
- 2.2.6 The certificate holder violates these Testing and Certification Regulations, unless such violation is only slightly negligent or is almost negligible in degree. Upon suspension, withdrawal Company shall not use Certification Mark and Certificate
- 2.2.7 A surveillance audit if not successfully conducted within 6 Months from target date leads to withdrawal. It is advisable for the clients to successfully complete the audit before the target date.
- 2.2.8 For clients certified under SA8000, if the surveillance audit is not successfully conducted within 4 Months from target date leads to withdrawal of the certificate. It is advisable for the clients to successfully complete the audit before the target date.
- 2.3. In addition, the above reasons shall also entitle the certification body to restrict, revoke or suspend system certificates for a certain period.
- 2.4. Withdrawal, expiry, declaration of invalidity, restriction and suspension of a certificate may be published; in such cases, continued advertising or other use of the certificate/certification mark or the name of TÜV SÜD shall not be permitted. A certificate that has been withdrawn has expired or has been declared invalid shall be returned to the certification body. Annual certification fees that have been paid in advance shall not be reimbursed; invoices that have not yet been paid, however, must be paid in full in these cases.
- 2.5. Apart from cases of wilful intent and gross negligence, TÜV SÜD shall not be liable for any disadvantages incurred by the client in connection with the non-issue, withdrawal, expiry, restriction or suspension of a certificate.
3. Advertising; publishing of certificates, test marks and test reports; information

Revision 05	Effective as of 2009/01/06	Testing and Certification Regulations	 TUV SUD South Asia
Doc No. TSSA_CCU_43	Page 3 of 6		

3.1. A certificate or certification mark referring to a management system may only be used to promote the latter. Product-related advertising with the above mark is not permissible in cases in which certification covered a management system alone.

The certificate holder is fully responsible for ensuring that statements concerning a certified system are used in a permissible manner. Audit reports may only be reproduced in full and the date of issue must be quoted. Marks may only be changed in size in a geometrically similar manner.

4. Document retention

Audit reports shall be retained for a period of three years. Any statutory provisions exceeding this period shall remain unaffected thereby.

5. Violation of the Testing and Certification Regulations

TÜV SÜD shall be entitled to claim payment of a contractual penalty in the case of culpable violation of these Testing and Certification Regulations by the certificate holder. This shall also apply, in particular, in cases involving misuse of a certificate or a certification mark.

The certificate holder shall be liable for costs charged to TÜV SÜD by an accreditation body or costs directly incurred by the certification body, if and in as far as, the activities giving rise thereto resulted from a culpable violation on the part of the certificate holder, in particular violation of these Testing and Certification Regulations. This also applies, in particular, if TÜV SÜD acted at the instigation of an accreditation body or on the basis of other instructions and if such initiation proves justified.

6. Coming into effect of these Testing and Certification Regulations

These Testing and Certification Regulations have become effective on 1st April 2008 and shall remain valid until new Testing and Certification Regulations are issued.

Special Terms and Conditions for Auditing, Verification and Certification

1. General

TÜV SÜD conducts management system ("systems") auditing, verification and certification. The terms and conditions outlined below satisfy the requirements of the ISO/IEC Guide 62, SA8000 procedure 200 and ISO 17021 and the pertinent guidelines.

2. Preliminary system assessment, pre-audit

On request, TÜV SÜD offers the following services, which may also be performed independently of a certification procedure.

2.1. On the basis of management system documentation, weak points in the system description as compared with the requirements of the respective standard are pinpointed in a preliminary assessment. On request, the client receives a report outlining the results.

2.2. The pre-audit, whose scope is defined in conjunction with the client, serves to reveal improvement potential in the system. Generally, a pre-audit is carried out by a single auditor, who should be a member of the audit team that performs the subsequent (certification) audit. The auditor informs the client of the results in a closing meeting; on request, TÜV SÜD prepares a pre-audit report. Only one pre-audit may be carried out.

3. Certification procedure

3.1 Preparation

3.1.1. Opening meeting

Revision 05	Effective as of 2009/01/06	Testing and Certification Regulations	
Doc No. TSSA_CCU_43	Page 4 of 6		

At the client's request, the following points may be discussed in advance:

- Objectives, benefits and prerequisites of certification
- Explanation of the certification procedure including its schedule
- The standard on which the audit is based, the degree of verification and audit scope
- The estimated costs

3.1.2. Contract; preparation of the certification audit

The contract for auditing and certification has a term of three years and is automatically extended by further 3-year periods unless terminated in writing by the client or TÜV SÜD with a period of notice of 3 months in advance of expiry of the certificate.

After the client has accepted the TÜV SÜD quotation in writing, the management of the client company appoints an Audit Representative to be in charge of the certification procedure; TÜV SÜD notifies the client of the designated auditors (audit team or lead auditor). All rules governing impermissible consultancy activities by auditors that are contained in standards and regulations shall be observed. The client is entitled to reject auditors. Unless there is a conflict with any statutory regulations, the client may also demand to be informed of the certification procedures in which the auditors have participated within the last two years.

3.2. Certification audit

3.2.1. Stage 1 audit

A) Review and evaluation of management system documentation

The client must place all system documentation (MS Manual and, where appropriate, further documents such as documented procedures, work and test instructions) at the disposal of the certification body, so that they can be reviewed for compliance with the applicable standard. The client receives a brief report on document review (written or verbal). If management system documentation fails to satisfy the requirements, an additional meeting, at the client's expense, to discuss further procedure or a pre-audit may be agreed. In case of SA 8000 & FSMS the review and evaluation of management system documentation is carried out onsite.

B) Consultation with interested parties (Only for SA 8000 audits)" Due Diligence"

Prior to audit the auditors will meet key interested parties to anticipate problem areas. The interested stakeholders to be consulted include: workers, trade unions, NGO's, labour experts etc. The group being consulted may be asked if any facility in the area has particular problem and/or for comments may be asked in any facility including the audited facility, but auditors will not identify the applicant facility prior to certification. This is done in order to build up a picture of working conditions at the enterprises in advance of the verification process and to establish a complaints and appeals process.

3.2.2. Stage 2 Audit (On-site audit)

Prior to on-site audits, clients receive the audit plan coordinated with them and, at their request, the audit questionnaire for information purposes. By the means of audit plan the applicant is notified of the audit team members. Within the scope of the on-site audit, clients demonstrate the practical implementation of their documented procedures, while the auditors check and evaluate system effectiveness on the basis of the agreed standard. The audit questionnaire only serves as a guideline, however; questions that go beyond its scope may be asked. Clients grant auditors access to the respective units of the company and allow them to inspect all system-related records.

Every audit shall include auditing on all shifts (all crews). However, in cases of small companies where only one or two audit days apply, the auditing of all shifts may be covered in surveillance audits during the 3 year period.

After audit completion, TÜV SÜD informs the client of the audit result in a closing meeting and furnishes an audit report. Non-conformance reports countersigned by the Audit Representative include the required

Revision 05	Effective as of 2009/01/06	Testing and Certification Regulations	
Doc No. TSSA_CCU_43	Page 5 of 6		

corrective action. In the case of major non-conformances, a re-audit is required; the costs being based on the time needed (current daily rate, travel expenses, etc.).

If non-conformances that become evident during the audit are so grave that certificate award appears unrealistic even after reasonable corrective action, TÜV SÜD informs the client of termination of the certification audit and recommends that the audit be continued as a pre-audit. In such cases, TÜV SÜD charges the costs incurred up to audit termination (including report).

3.3. Certification

If all requirements of the applicable standard are satisfied and all legal and official regulations observed, the certification body issues a certificate. It issues a certification mark (e.g. the modular TÜV SÜD mark for management systems) that allows various certification fields to be represented via a single certification mark, which is governed by the applicable terms and conditions.

3.4. Surveillance audit

Unless specific regulations require other periods of validity, certificates are valid for three years, provided that annual surveillance audits under QMS, EMS & FSMS are carried out in the company with positive results. The first surveillance must be executed not more than 12 months from the last date (target date) of stage 2 audit (Initial Certification Audit). Subsequent surveillance audits must be carried out within a period of three months prior to and one month after the annual target dates, provided that no other term has been determined for specific standards. In justified cases, such as change/upgrade in certified standard requirements, expansion of client's site, introduction of new product/service, customer complaint etc. TÜV SÜD is entitled to carry out short notice audits at the expense of the certificate holder. To prepare for the audit, the auditor receives the valid management manual and a list of all modifications that have been effected. In the audit, the auditor examines selected management system elements by random sampling and prepares a report thereon.

SA 8000 – Surveillance audits under SA 8000 will be carried out on a 6 monthly basis. Minimum of one unannounced audit in any three year certification will be conducted. The second surveillance audit will be the mandatory unannounced audit. This audit can occur between 4-8 months, after the first surveillance. It will not be on the exact six months date, as to assure no prior knowledge of audit date. Any Non conformity (or persistent issues) would indicate the need for an additional unannounced audit during the period of certification.

Further, if the complaint is received from an interested party for non-compliance to SA8000 then an investigation shall be undertaken and may be aided through the undertaking of an unannounced audit and interviews with outside stakeholders, such as: trade unions, NGOs, and the complainant, at a minimum. The investigation shall cover all elements identified in the complaint. In case an unannounced audit is carried out to investigate the compliant, the client shall bear all costs of such audit.

A surveillance audit if not successfully executed before the Target Date. Clients are advised to plan the audit at least 2 months in advance to avoid suspension.

In case of SA8000 audits a surveillance audit if not successfully executed 2 months before the Target Date leads to a suspension of the certificate.

Revision 05	Effective as of 2009/01/06	Testing and Certification Regulations	 South Asia
Doc No. TSSA_CCU_43	Page 6 of 6		

3.5. Repeat audit

If a repeat audit is carried out in the company prior to certificate expiry, certificate validity may be extended for another period. In this case, overall system effectiveness is examined by means of random sampling. To prepare for the audit, the auditor/audit team receive the valid management manual and a list of all modifications that have been effected.

4. Supplementary contractual terms

4.1. To the extent possible, the certification body is obliged to ensure that clients use certification correctly in advertising. The certification body reviews and evaluates complaints by third parties and changes in the client's organization that come to its knowledge. It informs the certificate holder by means of circulars or emails of substantial changes in the certification and surveillance procedure as well as any changes in the standards, which are relevant for certification.

4.2 The client shall satisfy all requirements pertaining to certification and supply all information required for auditing.

Certificate holders shall inform the certification body in writing of all important changes in their systems and any modifications in company structure / organization / company name etc. with major effects on the management system. In addition, certificate holders shall document internal and external complaints relating to their management systems as well as implemented corrective action and provide such information during the audit. The certificate holder shall make available, when requested, the records of all complaints and corrective actions taken in accordance with the requirements of the system standards or other normative documents to the certification body

4.3. Should the underlying standards, regulations or codes of practice be changed, the existing contractual documents shall be adjusted accordingly.

4.4 Information Disclosure: Upon request from any interested party TUV SUD South Asia shall provide the information about the current status of the client after carrying out a suitable verification of the intent. The same shall be communicated to the client in advance All other information, except for information that is made publicly available by the client, shall be considered confidential.

The clients shall be intimated before hand through an email/ letter by the central certification unit if any confidential information is to be divulged with any external party.

4.5 The clients updated status will be made available on the our website www.tuv-sud.in

5. Additional conditions for the auditing, verification and certification of specific systems

6. Liability

Except in cases of intention and gross negligence, bodily injury or liability in accordance with product liability law, any other claims asserted on the part of the customer for direct and indirect damages – for whatever legal reason whatsoever – in particular, claims for payment of damages because of violation of duty or unlawful acts and compensation for damage which has not occurred on the subject of the order itself shall be excluded. This shall also apply to the personal liability of TUV staff, their executing aides and, in particular, experts.

7. For integrated systems; the specific requirements of the individual systems must be observed and identified.

8. Future, newly developed certification fields will be regulated in documented procedures or test standards.

9. Delegates of the Accreditation Body may participate in witness audits