GENERAL REGULATIONS FOR MANAGEMENT SYSTEM CERTIFICATION

Rules for applicants and certified clients of TUV Limited

Document No.	Revision	Revised date	Public availability
TUV-LTD-P-02	01	20.10.2026	Published on the TUV website and sent with every offer

Please read before applying. These regulations set out the rules for certification by TUV Limited. By signing the application questionnaire (Form F-02) or the certification agreement, the applicant confirms that it has read, understood and accepted these regulations. They apply to every certification scheme listed in Section 1.

1. Purpose and scope

These regulations set out the rules under which TUV Limited ("TUV") assesses and certifies management systems, and the rights and duties of applicants and certified clients ("the Client"). TUV operates in accordance with ISO/IEC 17021-1:2015 and the requirements of its accreditation bodies.

They apply to the following schemes: ISO 9001 (quality), ISO 14001 (environment), ISO 45001 (occupational health and safety), ISO 22000 (food safety), ISO 22301 (business continuity), ISO/IEC 27001 (information security), ISO 50001 (energy) and ISO 41001 (facility management). Requirements that apply to only one scheme are in scheme documents, which TUV gives to the Client with the offer. The accreditation body and accreditation status of each scheme are shown on the TUV website.

2. Definitions

Term	Meaning
Applicant	Organisation that has applied for certification.
Client	Applicant or certified organisation.
Certification agreement	The agreement between TUV and the Client, which includes these regulations.
Nonconformity	Non-fulfilment of a requirement. A major nonconformity affects the capability of the management system to achieve the intended results; a minor one does not.
Suspension	Temporary invalidation of certification.
Withdrawal	Cancellation of certification.

3. Application and contract

1. The Client provides the information requested in the application questionnaire, through an authorised representative. The information shall be true and complete, including the scope sought, sites, processes, number of personnel, outsourced processes, legal requirements and any management system consultancy received, and by whom.
2. TUV reviews the application before accepting it, in accordance with its Application and Contract Review Procedure. TUV may accept, accept with conditions, or decline. The reasons for declining are given in writing.
3. The certification agreement is concluded after acceptance. It covers all sites within the scope. The agreement states the audit time, the certification cycle and the fees.
4. Audit time is determined by TUV in accordance with the applicable rules. It is not changed for commercial reasons.

5. The Client tells TUV before the contract if consultancy was provided by anyone connected with TUV. TUV does not provide management system consultancy or internal audits.
6. If the requested scheme or scope is not covered by TUV's accreditation, TUV tells the applicant in writing before the contract is concluded. A certificate issued in that case does not carry an accreditation mark and shall not be described as accredited.
7. TUV notifies the Client of the audit team members. The Client may object to a team member for a valid reason, for example a conflict of interest.

4. The certification process

1. **Initial certification.** The initial audit has two stages. Stage 1 assesses readiness and documented information and plans stage 2. Stage 2 is held on site and assesses implementation and effectiveness. The certification decision is taken after the audit and the review of nonconformities.
2. **Audit plan and access.** TUV agrees the audit plan and dates with the Client. The Client gives the audit team access to all relevant areas, processes, documents, records and personnel, provides a guide where needed, and gives information on safety and security rules.
3. **Findings.** Findings are graded as major nonconformity, minor nonconformity or observation. The team explains findings at the closing meeting and does not suggest solutions.
4. **Nonconformities.** The Client analyses the cause and proposes correction and corrective action. For a major nonconformity, corrective action shall be completed and verified within 90 days. If it cannot be verified within 6 months after stage 2, another stage 2 is needed. For a minor nonconformity the Client submits a plan, which is verified at the next audit.
5. **Audit report.** TUV provides a written report. TUV owns the report.
6. **Decision.** Certification decisions are taken by an authorised person who was not involved in the audit. The decision is based on objective evidence and is not influenced by commercial interests. TUV may grant or refuse certification. TUV informs the Client in writing and, if certification is refused, gives the reasons. The Client may appeal against a refusal as described in Section 10.
7. **Certificate.** The certificate states the Client's name and location, the standard, the scope, the effective date, expiry date and a unique code. It is valid for up to three years. The certificate remains the property of TUV.

5. Maintaining certification

1. **Surveillance audits** are conducted at least once each calendar year. The first is not more than 12 months after the certification decision date. The Client agrees the dates and allows the audits. Surveillance covers, at least, internal audit and management review, actions on earlier nonconformities, complaint handling, effectiveness of the management system, continual improvement, operational control, changes and use of marks.
2. **Recertification.** TUV carries out a recertification audit before expiry. The Client shall plan for it in good time. If the audit or the verification of major nonconformities cannot be completed before expiry, certification is not renewed and its validity is not extended.
3. **Extension or reduction of scope.** The Client may apply to extend or reduce the scope. TUV reviews the application and determines the audits needed. An extension may be audited with a surveillance audit.
4. **Short-notice audits.** TUV may audit a certified Client at short notice, or without announcement, to investigate complaints, in response to changes, or to follow up a suspension. The Client shall accept such audits. Because the Client cannot object to team members, TUV takes additional care in assigning the team.
5. **Transfer.** A Client with a valid certificate from an accredited certification body may apply to transfer it to TUV. TUV carries out a pre-transfer review. Suspended certificates, and certificates under threat of suspension, cannot be transferred.

6. Duties of the Client

The Client shall:

- maintain and improve its management system and continue to meet the requirements of the standard and of these regulations, and remains responsible for conformity;
- allow audits at the required frequency and provide access for TUV auditors and, where required, for accreditation body assessors who witness audits and for observers agreed with TUV;
- inform TUV without delay of matters that may affect the capability of its management system, including changes in legal, commercial or organisational status or ownership; organisation, management and key personnel; contact address and sites; scope of operations; major changes to the management system and processes; and breaches of legal obligations, including serious incidents or regulatory action related to the certified activities;
- keep records of all complaints received about its certified activities and its management system, take action, and make the records available to TUV on request;
- pay the fees stated in the agreement;
- make no misleading statement about its certification and comply with the rules in Section 7;
- comply with any requirement of TUV about a change of certification requirements, within the time given.

7. Use of certificates and marks

1. The Client may refer to its certification, and use the TUV mark, only within the scope and in accordance with the rules issued by TUV. References shall make clear which management system and standard are certified and by which certification body.
2. The Client shall not use the mark or certificate in a way that implies that TUV certifies a product, service or process, nor on a product, on product packaging, on laboratory test, calibration or inspection reports or certificates, or in any way that could be read as showing product conformity.
3. The Client shall not apply the certification to activities or sites outside the certified scope, and shall not use it in a way that brings TUV or the certification system into disrepute.
4. On withdrawal, the Client shall stop using all advertising that refers to certification, as directed by TUV. On suspension the Client shall not use the certificate or marks and shall not advertise the certification. After a scope reduction, the Client shall amend all advertising to reflect the reduced scope.
5. The Client is not authorised to use the ACCREDIA mark, or the mark of any other accreditation body, alone or with the TUV mark. A certificate that carries an accreditation mark may be reproduced only as a whole and unaltered.
6. The detailed rules are in TUV-LTD-P-07, Rules and Regulations for Use of Certification Mark, which is part of the certification agreement.
7. TUV may act on misleading use, including a request for correction and corrective action, suspension, withdrawal, publication of the transgression and legal action.

8. Suspension, withdrawal and reduction of scope

8.1 Suspension

TUV suspends certification where, for example:

- the certified management system has persistently or seriously failed to meet certification requirements, including effectiveness;
- the Client does not allow surveillance or recertification audits to be conducted at the required frequency;
- the Client has not closed major nonconformities within the time stated in Section 4;
- the Client misuses the certificate or the mark, or does not comply with these regulations after being notified;
- the Client fails to inform TUV of changes as required by Section 6, or does not pay fees after reminder; or
- the Client requests suspension voluntarily.

While certification is suspended it is temporarily invalid. The Client shall not use the certificate or marks or advertise its certification. TUV informs the Client in writing of the reasons, the conditions for lifting the suspension and the time allowed, and updates its public information. Suspension is normally not longer than six months.

8.2 Restoration

TUV restores suspended certification if the issue that led to the suspension has been resolved and verified. Verification may require an additional audit at the Client's cost.

8.3 Withdrawal and reduction of scope

If the issue that led to the suspension is not resolved in the time set, TUV withdraws certification or reduces its scope. TUV may also withdraw certification if the Client repeatedly or seriously fails to meet requirements, misuses certification, becomes insolvent or ceases the certified activities, or otherwise breaches the certification agreement. TUV reduces the scope to exclude the parts that do not meet requirements when the Client has persistently or seriously failed to meet them. The Client may ask for the scope to be reduced.

8.4 Decisions and termination

Decisions on suspension, withdrawal and reduction of scope are taken by an authorised person who was not involved in the audit, and are notified in writing with reasons. The Client may end the agreement in writing by giving notice period to be inserted. On termination or withdrawal the Client shall stop using the certificate and marks and return the certificate if asked.

9. Complaints

1. Any person may complain to TUV about TUV's activities or about a certified Client. Complaints are made in writing to complaints contact and e-mail address.
2. TUV acknowledges receipt and confirms whether the complaint relates to certification activities for which it is responsible. Acknowledgement within 5 working days.
3. TUV gathers and verifies the information needed. A valid complaint about a certified Client is referred to the Client at an appropriate time, and the Client shall cooperate. TUV considers the effectiveness of the certified management system.
4. The investigation and decision are made by persons who did not carry out the audit or take the certification decision concerned. The decision is made, or reviewed and approved, by individuals not previously involved in the complaint.
5. TUV gives the complainant progress reports and formal notice of the outcome, and takes appropriate correction and corrective action.
6. Complaints are handled in confidence. Submitting a complaint does not lead to any discriminatory action against the complainant.
7. TUV determines with the Client and the complainant whether, and to what extent, the subject of the complaint and its resolution are made public.

10. Appeals

1. The Client or applicant may appeal against a decision of TUV, including refusal, suspension, withdrawal, reduction of scope or a decision not to renew certification. The appeal shall be made in writing with reasons within 30 days of notice of the decision, to appeals contact and e-mail address.
2. TUV acknowledges the appeal and gives progress reports. Acknowledgement within 5 working days
3. TUV gathers and verifies all information needed to validate the appeal.
4. The appeal is examined by independent persons appointed by the Chairman who were not involved in the audit or the decision. The decision is made, or reviewed and approved, by individuals not previously involved in the subject of the appeal.
5. TUV informs the appellant of the result in writing and gives formal notice of the end of the appeals process. Target time for the outcome: 60 days.
6. Submitting or investigating an appeal does not lead to any discriminatory action against the appellant. TUV takes appropriate correction and corrective action. While an appeal is being handled, the decision stays in effect unless TUV decides otherwise.

11. Impartiality and confidentiality

TUV safeguards impartiality. It does not provide management system consultancy or internal audits to its Clients, and does not state or imply that certification would be simpler or cheaper with a specified consultant.

Its policy on impartiality is public. An independent committee of external interested parties oversees impartiality.

TUV keeps all information obtained during certification confidential, except information the Client makes public. It tells the Client in advance what information it intends to make public. Information about a Client is not given to third parties without written consent, except where required by law or by the accreditation body, in which case the Client is informed unless the law prohibits it. TUV publishes on request the status of a certification, the standard, scope and location of a certified Client. The Client agrees that TUV may provide certification information to its accreditation bodies and give accreditation assessors access to records and audits.

12. Fees, liability and records

Fees, payment terms and expenses are stated in the offer and the certification agreement. TUV's liability is as stated in the certification agreement. TUV keeps records of applicants and clients for the current certification cycle plus one full cycle, securely and in confidence.

13. Changes to these regulations

TUV gives certified Clients due notice of any change to its requirements for certification, and the time to comply, and verifies that each Client complies. If the Client does not accept a change, it may end the agreement in writing.

14. Governing law

These regulations and the certification agreement are governed by the laws of the Kingdom of Saudi Arabia.

15. Granting certification

1. The organisation applies for certification using the application questionnaire (Form F-02), through an authorised representative, and provides the information requested: the scope sought, sites, processes, number of personnel, outsourced processes, applicable legal requirements and any management system consultancy received.
2. TUV reviews the application to confirm that it has the competence, capability and resources to carry out the certification, and that the scheme and scope are covered by its accreditation. TUV accepts, accepts with conditions, or declines the application, and gives the reasons for declining in writing.
3. After acceptance, the certification agreement is concluded. It covers all sites within the scope and states the audit time, the three-year certification cycle and the fees.
4. TUV determines the audit time in accordance with the applicable rules and does not change it for commercial reasons. TUV prepares an audit programme for the full certification cycle.
5. TUV appoints a competent audit team and notifies the Client of its members. The Client may object to a team member for a valid reason, such as a conflict of interest. TUV agrees the audit plan and dates with the Client.
6. The initial audit has two stages. Stage 1 assesses readiness, documented information, scope and legal compliance, and plans stage 2. TUV reports the results to the Client, including any areas of concern that could become nonconformities. Stage 2 is held on site when TUV is satisfied that the Client is ready.
7. Stage 2 assesses the implementation and effectiveness of the management system. It includes an opening meeting, the collection of objective evidence, the grading of findings as major nonconformity, minor nonconformity or observation, and a closing meeting at which findings and conclusions are presented. The audit team does not suggest solutions.
8. The Client analyses the cause of each nonconformity and proposes correction and corrective action. For a major nonconformity, corrective action shall be completed and verified within 90 days. If it cannot be verified within 6 months after stage 2, another stage 2 is needed before certification can be granted. For a minor nonconformity, the Client submits a plan, which is verified at the next audit.
9. TUV provides a written audit report. The report and the evidence are reviewed by a person who was not involved in the audit.
10. Certification is granted or refused by an authorised person who was not involved in the audit. The decision is based on objective evidence and is not influenced by commercial interests. TUV informs the Client in writing.

11. When certification is granted, TUV issues the certificate. It states the Client's name and location, the standard, the scope, the effective date, the expiry date and a unique code. The certificate is valid for up to three years and remains the property of TUV.
12. The Client may refer to its certification and use the TUV mark in accordance with Section 7. TUV gives information on the status of the certification on request.

16. Refusing certification

1. TUV declines an application when the application review shows that it cannot carry out the certification, because it does not have the competence, capability or resources, or because the requested scheme or scope is not covered by its accreditation, or when the information given is incomplete, false or misleading and is not corrected when requested.
2. TUV refuses to grant certification after the audit where:

- the objective evidence does not show that the management system meets the certification requirements;
- major nonconformities are not corrected and verified within the time stated in Section 15;
- the Client does not allow the audit or does not give access to sites, records or personnel; or
- the Client does not accept the certification agreement or these regulations, or does not pay the fees due.

3. A refusal at the application review is decided by TUV in accordance with its Application and Contract Review Procedure. A refusal after the audit is decided by an authorised person who was not involved in the audit.
4. TUV informs the applicant in writing and gives the reasons. No certificate is issued, and the applicant shall not state or imply that it is certified.
5. The applicant may appeal against a refusal, in writing with reasons, within 30 days of notice of the decision (Section 10).
6. After the causes of the refusal have been resolved, the organisation may apply again. TUV reviews the new application and determines the audits needed.
7. TUV keeps the records of the application and the refusal securely and in confidence (Section 12).

17. Maintaining certification

1. Certification is maintained during the three-year certification cycle by surveillance audits and by the Client continuing to meet the requirements of the standard and of these regulations.
2. Surveillance audits are conducted at least once each calendar year. The first is not more than 12 months after the certification decision date. The Client agrees the dates and allows the audits.
3. Surveillance covers, as a minimum: internal audit and management review, actions on earlier nonconformities, complaint handling, effectiveness of the management system in achieving the Client's objectives, progress of continual improvement, operational control, changes, and use of marks and other references to certification.
4. TUV may carry out special audits, at short notice or without announcement, to investigate complaints, in response to changes, or to follow up a suspension. The Client shall accept these audits. TUV takes additional care in assigning the audit team.
5. The Client informs TUV without delay of the matters in Section 6 and keeps records of complaints received about its certified activities.
6. TUV considers complaints and other relevant information about the certified Client and decides whether further action, including an additional audit, is needed.
7. Nonconformities found during surveillance are handled as described in Section 15, item 8.
8. A person who was not involved in the audit reviews the audit report and decides whether certification continues. If the result is positive, certification remains valid. TUV informs the Client of the result in writing.
9. If the management system persistently or seriously fails to meet requirements, or the Client does not allow surveillance audits, TUV suspends certification (Section 19).

18. Renewing certification

1. Certification is renewed by a recertification audit and a positive decision before the certificate expires. The Client shall plan for the recertification audit in good time.
2. TUV plans the audit taking into account the performance of the management system over the certification cycle, the surveillance reports and the complaints received.
3. The recertification audit assesses the continued fulfilment of all requirements, the effectiveness of the management system as a whole, and its continued relevance and applicability to the scope. A stage 1 audit may be needed where there are significant changes.
4. Nonconformities are handled as described in Section 15, item 8. Correction and corrective action for major nonconformities shall be verified before the certificate expires.
5. An authorised person who was not involved in the audit decides on renewal, based on the recertification audit, the review of the system over the certification cycle and the complaints received.
6. When certification is renewed, TUV issues a new certificate valid for up to three years. When recertification is completed before expiry, the expiry date of the new certificate can be based on the expiry date of the existing certificate.
7. If the recertification audit, or the verification of corrections for major nonconformities, is not completed before expiry, TUV does not renew certification and does not extend its validity. TUV informs the Client in writing and explains the consequences. The Client shall not use the certificate or marks after expiry.
8. Within 6 months after expiry, TUV can restore certification if the outstanding recertification activities are completed. Otherwise, at least a stage 2 audit is needed. The effective date of the new certificate is on or after the recertification decision, and the expiry date is based on the previous certification cycle.

19. Suspending certification

1. TUV suspends certification where:

- the certified management system has persistently or seriously failed to meet certification requirements, including effectiveness;
- the Client does not allow surveillance or recertification audits to be conducted at the required frequency;
- the Client has not closed major nonconformities within the time stated in Section 15;
- the Client misuses the certificate or the mark, or does not comply with these regulations after being notified;
- the Client fails to inform TUV of changes as required by Section 6, or does not pay fees after reminder; or
- the Client requests suspension voluntarily.

2. A suspension is decided by an authorised person who was not involved in the audit.
3. TUV informs the Client in writing of the reasons, the conditions for lifting the suspension and the time allowed. Suspension is normally not longer than six months.
4. While certification is suspended it is temporarily invalid. The Client shall not use the certificate or marks and shall not advertise its certification.
5. TUV makes the suspended status of the certification publicly accessible.
6. TUV may carry out a special audit during the suspension to follow up the actions taken by the Client.
7. If the issue that led to the suspension is resolved, certification is restored (Section 20). If it is not resolved in the time set, TUV withdraws certification or reduces its scope (Sections 21 and 22).

20. Restoring certification

1. TUV restores suspended certification if the issue that led to the suspension has been resolved and verified.
2. The Client submits to TUV the evidence of the correction and corrective action taken, within the time allowed in the suspension notice.
3. TUV verifies the evidence by review of records or, where needed, by an additional audit at the Client's cost.
4. The decision to restore certification is taken by an authorised person who was not involved in the audit.

5. TUV informs the Client in writing and updates the publicly accessible status of the certification. The Client may then use the certificate and marks again.
6. If the issue is not resolved in the time set, TUV withdraws certification or reduces its scope (Sections 21 and 22).

21. Withdrawing certification

1. TUV withdraws certification where:
   - the issue that led to the suspension is not resolved in the time set;
   - the Client repeatedly or seriously fails to meet requirements;
   - the Client misuses certification or breaches the certification agreement;
   - the Client becomes insolvent or ceases the certified activities; or
   - the Client asks for withdrawal or ends the agreement in writing.
2. A withdrawal is decided by an authorised person who was not involved in the audit. TUV notifies the Client in writing with the reasons.
3. On withdrawal, the Client shall stop using the certificate and marks, stop all advertising that refers to certification as directed by TUV, and return the certificate if asked.
4. TUV updates the publicly accessible status of the certification.
5. The Client may appeal against a withdrawal in writing, with reasons, within 30 days of notice of the decision (Section 10).
6. An organisation whose certification was withdrawn may apply again as a new applicant (Section 15).

22. Expanding or reducing the scope of certification

1. To extend the scope, the Client applies to TUV in writing for the additional activities, products, services or sites it wants to include.
2. TUV reviews the application and determines the audit activities needed. The audit may be carried out together with a surveillance audit or as a separate audit.
3. The decision on the extension is taken by an authorised person who was not involved in the audit. TUV informs the Client in writing. If the extension is granted, TUV issues an amended certificate showing the new scope.
4. The Client may ask TUV in writing to reduce the scope. TUV reviews the request and issues an amended certificate showing the reduced scope.
5. TUV reduces the scope to exclude the parts that do not meet requirements when the Client has persistently or seriously failed to meet them, or when a suspension is not resolved in the time set. The decision is taken by an authorised person who was not involved in the audit, and TUV notifies the Client in writing with the reasons.
6. After a reduction of scope, the Client shall amend all advertising and references to certification to reflect the reduced scope.
7. TUV updates the publicly accessible information on the scope of the certification. The Client may appeal against a reduction of scope in writing, with reasons, within 30 days of notice of the decision (Section 10).

Acceptance of the General Regulations

The undersigned confirms that the organisation has received, read, understood and accepts TUV-LTD-R-01, General Regulations for Management System Certification.

Organisation	
Name and position of the authorised representative	
Certification scheme(s) applied for	
Place and date	
Stamp and signature	

Revision history

Revision	Date	Description of change
00	2024.12.1	Initial release.
01	20.10.2026	Added that TUV may grant or refuse certification, that reasons are given for a refusal, and the right to appeal. New Sections 15 to 22 describing the certification processes in full: granting, refusing, maintaining, renewing, suspending, restoring and withdrawing certification, and expanding or reducing the scope of certification.