



ZNU Standard – driving sustainable change

Z 7 Requirements for certification bodies and auditors

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Z 7 Requirements for certification bodies and auditors

The quality and expertise of independent certification bodies, auditors acting on their behalf, and the staff at certification bodies with the final say on certification play an essential role in ensuring successful certification procedures.

Z 7-1 Requirements and responsibilities of certification bodies

Certification bodies authorized to perform certification audits for the *ZNU Standard – driving sustainable change* must meet the following requirements:

1. proof of competence via accreditation according to EN 17021 (authorized certification body for management systems) and EN 17065 (authorized certification body for products, processes and services)
2. approval by ZNU and cooperation agreement with ZNU
3. proof of impartiality and independence
4. annual exchange with ZNU as standard setter to advance joint activities related to the *ZNU Standard – driving sustainable change*
5. three audits per year for the *ZNU Standard – driving sustainable change*
6. individuals who conduct an audit or decide on certification in the certification body have adequate competences (see requirements for auditors and decision-makers in the certification body)

Responsibilities of certification bodies are as follows:

- ▶ Nomination of a contact person (plus deputy) in charge of all activities related to the *ZNU Standard – driving sustainable change* who attends the annual workshops for standard setter and certification bodies.
- ▶ Audit planning (tender preparation, selection of auditor / auditor team on the basis of authorization requirements and company language¹, time schedule, audit plan coordination, data transfer to ZNU).
- ▶ Notification to standard setter of an imminent certification audit at least four weeks prior to begin of audit.
- ▶ Audit (preliminary desk check of documents, on-site audit, recording of audit results)²
- ▶ Audit follow-up (complete and detailed audit reporting, decision on certification and issuance of certificate, transfer of data to ZNU).
- ▶ List keeping (including at least name, address and registration number of the certified company).
- ▶ Data keeping (audit results, reports and pertinent documentation, certificates) for the period stipulated in the current accreditation standard; data protection must be ensured).
- ▶ In case of a crisis (danger to humans, animals, environment, property assets or the reputation of the *ZNU Standard – driving sustainable change*) pertinent information must be passed on to the ZNU without delay.
- ▶ Legal arrangements with the companies must ensure that the certification body has access to required documentation as well as to the site.

¹ Where applicable, decision on use of accredited and independent interpreters and / or external experts.

² Additional pre-audit where necessary

Z 7-2 Requirements for auditors for the ZNU Standard – driving sustainable change

All auditors assigned to audits need to meet the following general requirements:

1. Trained auditor (documented qualification including examination) according to DIN EN ISO 19011.
2. Auditor is associated with an authorized certification body (as employee or freelancer).
3. Auditor has the required language proficiency if the audit is to be conducted in a language other than his or her mother tongue. Documentary evidence must attest that the auditor is fluent in the language(s) in question.
4. Auditor has professional expertise in the sector where the audit will be performed³.
5. Licensed auditor in accordance with
 - a) DIN EN ISO 9001 for the sector, or a sector-specific product or quality management standard,
 - b) DIN EN ISO 14001 or EMAS or DIN ISO 50001 or
 - c) Licensed auditor social affairs according to SA 8000 or DIN EN ISO 45001.

Proof of basic knowledge relating to 5 a) -c) for which no licensing has been granted.

Any verification of expertise must be documented.

Auditors who meet the above requirements may register for auditor training for the *ZNU Standard – driving sustainable change*. Having completed this training, auditors are admitted to the (written and oral) licensing examination. Having passed this examination, auditors are qualified and authorized to conduct audits for the *ZNU Standard – driving sustainable change*. The standard setter awards the qualification certificate. The ZNU registers recipients as licensed auditors. In order to maintain a license, an auditor must provide evidence of the following:

- ▶ attendance at annual ZNU-organized auditor workshops for exchange and calibration
- ▶ at least 2 complete audits within the first two years after registration, from then on five audits within the last three calendar years
- ▶ attendance at regular internal training courses (on current and / or amended legal requirements and practices, organized by the certification body)
- ▶ one announced accompanying audit conducted by the ZNU for evaluation (cf. Z4-4 "Quality assurance of certification procedures")

³ Extension of sector: in order to extend the auditor qualification to comprise an additional sector, the auditor and / or the respective certification body must document pertinent sector expertise. This may be substantiated via audits or professional experience, internal / external training or a sector-specific hot-spot screening. Sufficient expertise is required to assess technological features, legal stipulations and in addition the key issues addressed in the sector. Verification of such expertise must be documented. The ZNU decides whether documentation is adequate, and reserves the right to accompany the first and possibly subsequent audits or to delegate this quality control to an authorized person or organization (cf. Z4-4 "Quality assurance of certification procedures").

The ZNU checks the evidence submitted on a regular basis and may cancel an auditor's license for the *ZNU Standard – driving sustainable change*. Auditors without the above-listed qualifications or with insufficient qualification may be obliged to attend further supplementary training. An auditor's license may also be suspended temporarily or permanently in case of ascertained breach of regulations on ZNU certification procedures or of standard requirements. The ZNU may conduct a repeat examination (admission test and / or accompanying audit) and renew the license. The auditor and / or the certification body shall bear costs arising therefrom.

After expiration or suspension of the license the auditor is no longer authorized to conduct audits for the *ZNU Standard – driving sustainable change*.

Z 7-3 Requirements for decision-makers in the certification body

To guarantee independent supervision, the certification body must ensure that a competent individual or certification committee decides on certification and release of audit reports. The releasing individual must not have conducted the audit himself or herself (principle of dual control). The releasing individual must have attended at least a one-day training course on the *ZNU Standard – driving sustainable change* with a focus not only on requirements but also on the necessary depth and quality of audit reports. Course attendance and decision-making process must be documented in a way that is comprehensible for third parties. Following the decision on certification, the ZNU contact at the certification body communicates the audit report including findings (checklist) and the action plan – where available – to the ZNU.