

**Deutsche Zertifizierung  
in Bildung und Wirtschaft GmbH**

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**Certification procedure of Learning Service Providers in the  
area of non-formal education and training according to  
ISO 29990:2010**

**Document WP04 D - D01e**

**Content**

- Introduction
- First certification audit
- Certification
- Maintenance and prolonging of the validity
- Further regulations

## **Introduction**

This document is a summary of the procedure of certification of Learning Service Providers in the area of training and further education according to ISO 29990:2010 by the certification body DeuZert GmbH – cf. picture N° 1. The intention of this document is to inform the organisation to be certified – the Learning Service Provider - about the relevant regulations.

## **First certification audit**

The certification audit of a Learning Service Provider and its management system consist of a two-staged audit (cf. Picture N°1). In addition there is the possibility of a pre-audit.

### **Pre-audit**

The procedure of a pre-audit is optional and unique. The intention of a pre-audit is to determine the readiness for certification by an examination on site. The auditor conducts the audit according to an audit plan that leads to an audit report. The costs for the pre-audit are not included in the costs for the first certification audit.

### **Stage audit 1**

During the stage 1 audit the management documentation of the learning service provider and the conditions on site are audited. If multiple sites are to be certified, the stage 1 audit will take place in the company's headquarter.

The management documentation provided by the client has to consist of the following items:

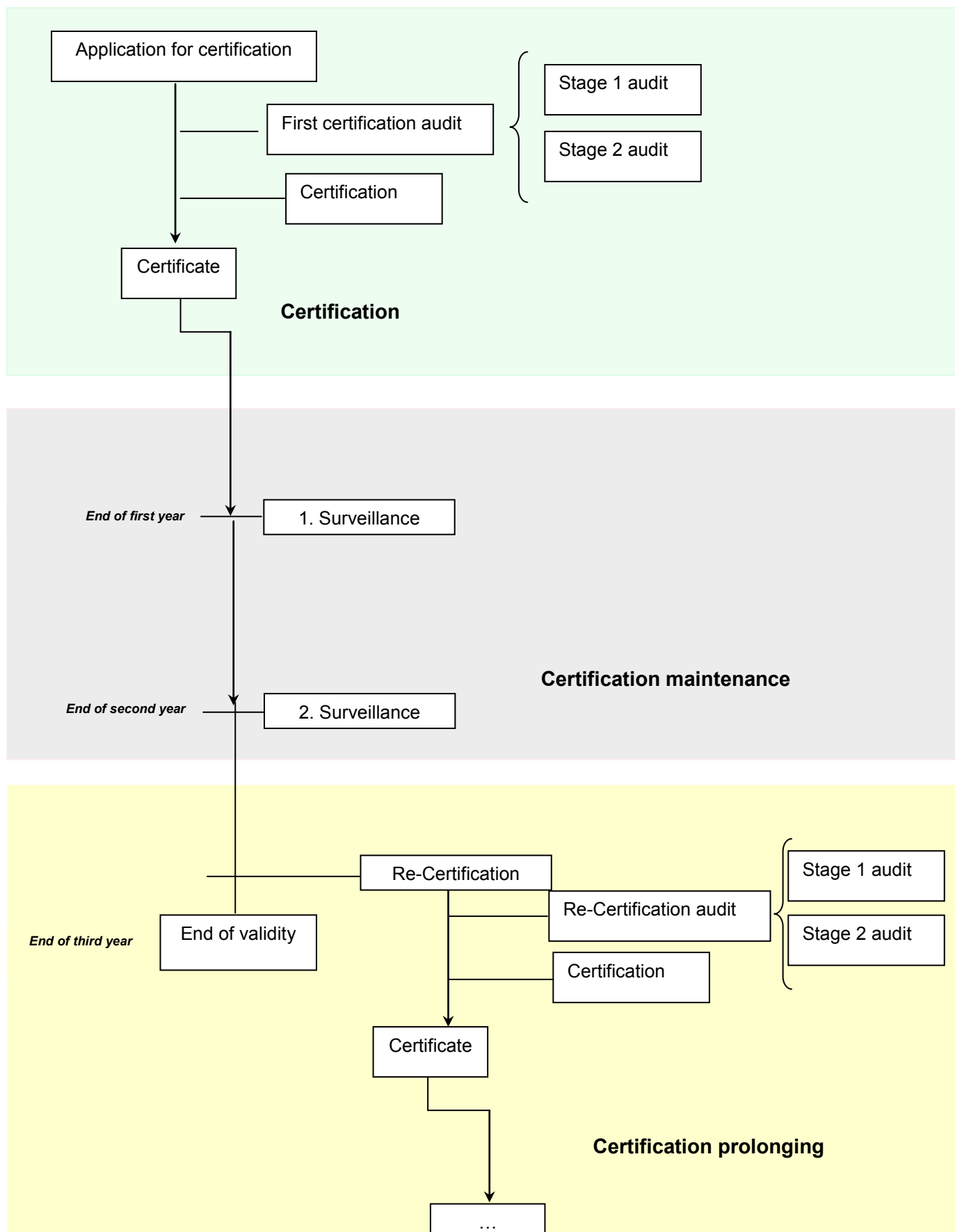
- A documented management system
- A documented evidence on the implementation and compliance of the requirements of the ISO 29990:2010
- An up-to-date business plan
- Documents and evidence on a system of financial management
- Documents and evidence on a system for risk management
- A documented audit programme
- Evidence on the realisation of internal audit and management reviews

The auditor collects necessary information on the management system of the Learning Service Provider, the service-providing processes, and all sites of the client including legal provisions and governmental directives and the compliance to those information and the resulting risks.

The intention is to determine to which extend the requirements of the ISO 29990:2010 on the stage 2 audit are fulfilled by the client. If there one or more non-conformities, the client is given an appropriate period (generally 2 months) for correction. The stage 2 audit can only be started if the client performs all corrections during the given time period. In particular cases, or if the given time period is exceeded before all corrections are made the stage 1 audit has to be repeated. In addition the maximum of three months between the end of the stage 1 audit and the start of the stage 2 audit shall not be exceeded. The conclusions of the stage 1 audit are documented in a report.

The stage 2 audit can be started immediate after the stage 1 audit. In this case possible occurred flaws during the stage 1 audit can be classified as non-conformities in the stage 2 audit.

Picture N° 1



## **Stage audit 2**

The implementation and effectiveness of the management system and the organisation of learning services by the client are evaluated during the stage 2 audit. The purpose is if that what had been documented respectively specified in in management system is being implemented at point of fact.

The auditor will conduct the audit according to an audit plan which will be provided to the client in advance. The audit includes the questioning of employees at their workplace as well as inspecting further applicable documents, records or similar documents and the site inspection of the relevant areas.

Attendees on the audit will be recorded on an attendees list by signature. The auditor issues a report including all detections of the stage 2 audit as a conclusion. The client as well as the auditor both signs two copies of the report. One copy stays with the client subject to the approval by DeuZert. The second copy will brought forward to DeuZert for approval. At last the second copy of the audit report will be filed. The right of property on the audit report stays with DeuZert.

In a closing meeting the auditor will notify the conclusions mentioned in the report about the client. If there are non-conformities the following measures are specified. The follow-up of the non-conformities will cause additional work and expenses.

## **Certification**

The decision of issuing the certificate will be made by the certification committee. Members of the certification committee are the professional management in terms of contents of certification or deputy as well as a qualified auditor who is not involved in the certification process to be decided.

The decision by the certification board is based on the documentation of the certification process, a survey of the recommendation by the auditor and on further relevant information such as public information or a statement of the client on the audit report.

The certificate is issued by the date of the certification decision. The certificate is officially registered by granting a registration number. The validity of the certificate is three years from the issuing date.

The scope of services contains the issuing and registration of a maximum of 2 certificates (certificates and sub certificates) without company logo in the format DIN A3 or DIN A4 and if requested also as a .pdf file. The available languages for certificates are: German, English or Russian. For other or additional requests concerning the certificates please refer to the actual bill of quantities.

## **Certification maintenance and prolonging**

### **Surveillance audit**

Annual surveillance audits are performed during the validity of the certificate with certified clients. During those surveillance audits it is audited, if there are any changes are made in the management system or the organisation of learning services as well as the fact if the management system is still meet the requests of the ISO 29990.

In advance of the annual surveillance audits, DeuZert updates the existing information about the client, in particular the number of employees. Detected changes in the number of employees can lead to an adjustment to the original audit duration. In case of such a change, DeuZert will determine the change within audit duration and/or the contents of the audit.

Surveillance audits are covering the following issues:

- Examination if there were internal audits as well as management reviews performed and documented.
- Evaluation of the measures taken based on conclusions of the previous audit.
- Examination of the complaint management.
- Examination of the effectiveness of the management system and the organisation of learning services according to the achievement of ambitions.
- Examination of the progress in the area of continual improvement.
- Examination if there is a prolonged management.
- Evaluation of corporate data such as number of employees, number of sites and so on.
- Utilisation of signs.

The target date of a surveillance audit shall not be performed 12 / 24 month after the last day of the stage 2 audit also surveillance audits shall not be performed 3 month before the target date.

Four month before the target date the client is informed about the target date for the surveillance audit and there will be an agreement with the client about the 2-week time period in which the surveillance audit will take place. The auditor will arrange the precise target date with the client.

The auditor will perform the surveillance audit in similar manner to a stage 2 audit. The surveillance audit leads to an audit report similar to the audit report of the certification audit.

### **Re-Certification (certification prolong)**

A certification can be prolonged for further 3 years if the re-certification audit including the examination of corrective actions of non-conformities and the recommendation of the auditor for issuing the certificate are finished before the end of the validity of the former certificate.

The target date for re-certification is the end of the validity period of the certificate minus 3 month. The range for the re-certification audit is 2 week before and 6 weeks after the target date.

DeuZert will contact the client 6 month before the target date and provides him with the application form for re-certification. The client applies for re-certification not later than 4 month before the end of the validity period of the actual certificate.

If there are significant changes in the organisation of learning services with the client or the function of the management system, there could be a necessity for a stage 1 audit similar to the stage 1 audit on page 2.

The re-certification audit consists of a stage 2 audit similar to the stage 2 audit on page 5.

The decision on the prolonging of the certificate will be similar to the decision of certification also described on page 5.

## **Further regulations**

Further regulations are listed below:

- The head of sales network/ customer service or an authorised representative employee examines the application on correctness and completeness. A further examination on if the application meets the scope of functions and the sphere of authority as well as if there are qualified auditors available. If those preconditions are met, an offer is made based on the specifications in the application. If the application is denied, reason for the denial is provided to the client in writing.
- The client may object to any nomination of any auditor or expert. On request the client will be provided with names and further information to every member of the audit team. The consideration on data protection in this case is mandatory.
- If during an audit is discovered that the objectives of the audit will not meet respectively an immediate considerable risk may exists (e.g. security), the auditor has to inform the client immediately and, if possible, the certification body. Further the auditor has to initiate reasonable actions. This includes also any need for changes concerning the audit scope. Those issues are documented in the audit report. In the case of different opinions about those issues the auditor and the client will try to resolve those differences in a common constructive manner. If this is not possible, the difference of opinion is documented in the audit report.
- There is always the possibility of objections against the certification decision as well as complaints about it. Complainants are not penalised for objecting or complaining against the certification decision. Within 4 weeks after the certification decision comes to the attention of the client, there is the possibility of submitting a complaint in writing. Any time complaints may provide to DeuZert in writing.
- DeuZert provides the client with notification of changes of the requirements concerning the certification in due time. The client pledges oneself to implement adjustments that result out of the notification of changes.

- The utilisation of the DeuZert - Logo is part of a stipulation. Those stipulations are part of the document WP04 – D001: certification of management systems § 29 "Right of utilisation of token and certificates".
- DeuZert keeps records of all valid certifications. The record consists of the name of the certified company, the certification standard, the area of application of the certification, the certified sites and the validity of the certificate. DeuZert has the right to reveal this register by request.
- DeuZert has the right to provide an interested party about the status of the certification by request. Further information about the client is handled confidential with highest priority and are only revealed to third parties if the client has given his approval in writing. If DeuZert is legally obligated to reveal confident information about the client to third parties, the client will be notified in advance about the information to be revealed.
- The client grants DeuZert the right to perform witness audits on the part of the accreditation body. This does not lead to additional costs.
- The client has to inform DeuZert about any issues that could compromise the capability of the management system without the least delay. Such issues can be for example the change of the legal form of the company or the form of organisation, the financial conditions or land tenure, the organisation of learning services and their management (such as changes in senior management personal in executive positions, executives or experts), contact address and sites among other things.