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Certification procedure of educational organisations according to ISO 21001:2018

Document WP04 L - D01e

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Introduction

This document is a summary of the procedure of certification of educational organisations according to ISO 21001:2018 by the independent German certification body DeuZert® - cf. picture N° 1. The intention of this document is to inform the educational organisation to be certified about the relevant regulations.

This procedure was developed in accordance with the relevant standard EN ISO/ IEC 17021-1:2015. tor with the specific scope.

Certification application

After receiving the order for certification, the educational organization receives the application form for certification and other certification documents. Only when the educational organization has submitted the signed application for certification together with the necessary evidence (documents/documents) of compliance with the certification requirements to the certification body and a successful check for completeness and plausibility has been carried out, can the audit procedure be started.

First certification audit

The certification audit of an educational organisation 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 a review of documents and, if necessary, an on-site inspection. 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

The intention is to determine to which extend the requirements of the ISO 21001:2018 on the stage 2 audit are fulfilled by the educational organization. During the stage 1 audit basic aspects of the management documentation of the educational organisation as well as the conditions on site are audited. If multiple sites are to be certified, the stage 1 audit will take place in the organization`s headquarter.

At least, the management documentation provided by the educational organisation has to consist of the following items:

- Documented information in regard to the **scope** of the management system (4.3). Proof of the legal form of the educational organization (excerpt from the commercial register, business registration, etc.), which is not older than three months, must be submitted.
- The educational organization **policy** as documented information (5.2).
- Documented information on the educational organisation **objectives** (6.2).
- Documented information on the **process used for recruitment or selection** of staff members, volunteers and interns (7.1).
- Documented information on the **controls of documented information** (7.5).

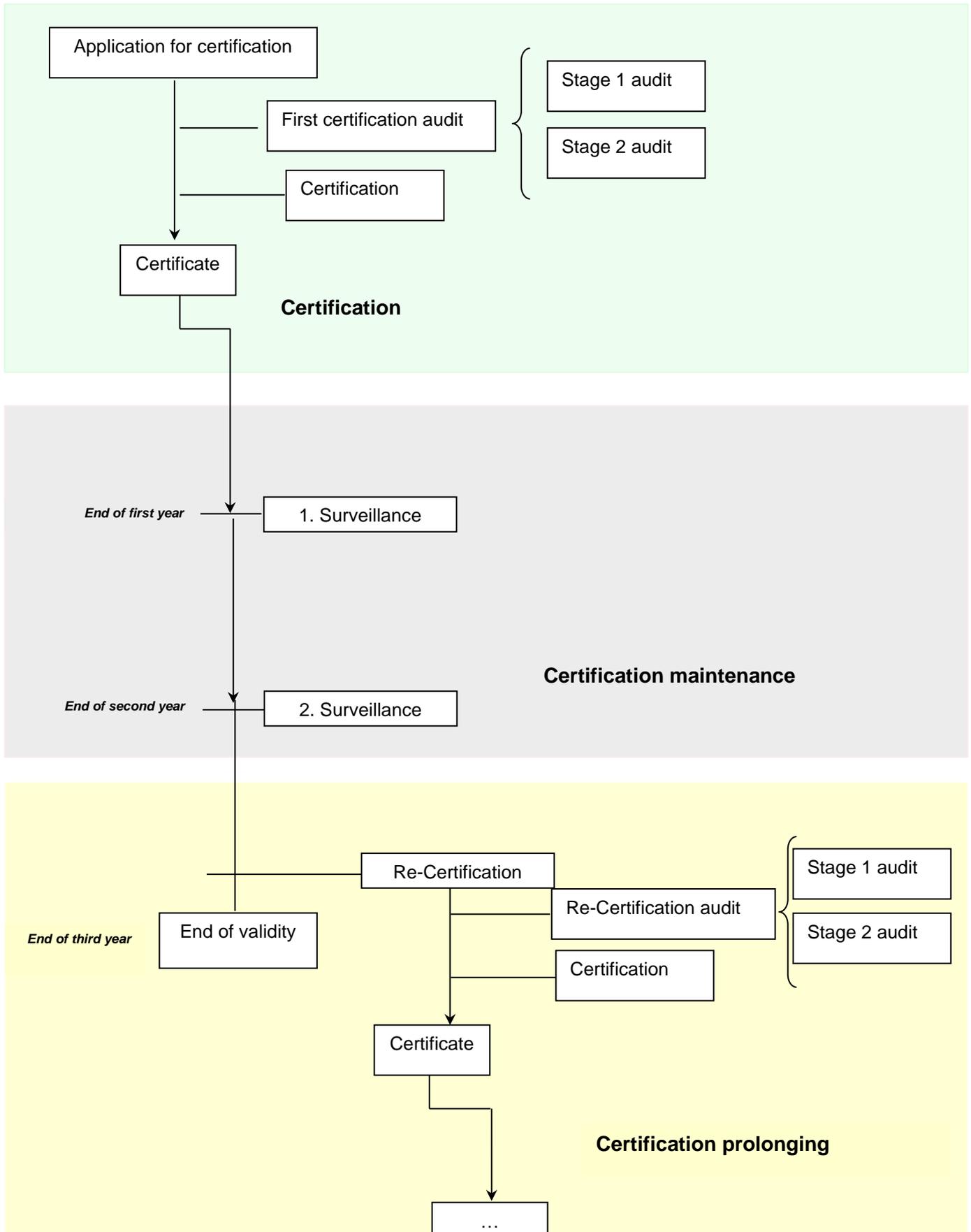
- Documented information on the **processes needed to meet the requirements for the provision of products and services** (8.1).
- Documented information on the **process for the admission of learners** (8.5.1).
- Documented information on the **method to deal with the protection and transparency of learner's data** (8.5.5).
- Documented information on the **method to handling complaints and appeals** (9.1).
- An up-to-date **strategic plan** (5.1).
- A documented internal **audit programme** (9.2).
- **Evidence** for the realisation of **internal audits** (9.2) and **management reviews** (9.3).

The auditor collects necessary information on the management system of the educational organisation, the product and/ or service providing processes, and all sites of the organization including legal provisions and governmental directives and the compliance to that information and the resulting risks.

If there at least one non-conformity, the organization is given an appropriate period (generally 5 months) for correction. The stage 2 audit can only be started if the organization 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 an audit 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 nonconformities in the stage 2 audit.

Picture N° 1



Stage audit 2

The implementation and effectiveness of the management system by the educational organization are evaluated during the stage 2 audit. The purpose is, if that what had been documented respectively specified in the 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 educational organization 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 educational organization as well as the auditor both signs two copies of the report. One copy stays with the organization subject to the approval by DeuZert®. The second copy will bring 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(s) will notify the conclusions mentioned in the report about the educational organization. If there are nonconformities the following measures are specified. The follow-up of the nonconformities will cause additional work and expenses.

Certification

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

The decision by the certification committee is based on the documentation of the certification process, a survey of the recommendations by the auditor and on further relevant information such as public information or a statement of the educational organization 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 educational organization's logo in the format DIN A3 or DIN A4 and if requested as a .pdf file as well. The available languages for certificates are: German and English. 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 educational organizations. During those surveillance audits it is audited, if there are any changes are made in the management system as well as the fact if the management system is still meet the requirements of the ISO 21001:2018.

In advance of the annual surveillance audits, DeuZert® updates the existing information about the educational organization, in particular the number of employees and locations. 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 regarding the current context of the organization (4.1).
- Examination of the current scope of the management system (4.3).
- Examination of the current leadership and commitment (5.1).
- Examination of current aspects regarding the controls of documented information (7.5).
- Examination of current aspects regarding the delivery of the educational products and services (8.5).
- Examination of current aspects regarding the performance evaluation including the complaint and appeal management (9.1).
- Examination if there were internal audits as well as management reviews performed and documented (9.2 & 9.3).
- Evaluation of the measures taken based on conclusions of the previous audit.
- Examination of the effectiveness of the management system according to the achievement of ambitions.
- 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 day of certification decision also surveillance audits shall not be performed 3 months before the target date.

Some times before the target date the educational organization is informed about the target date for the surveillance audit and there will be an agreement with the educational organization about the 2-week time period in which the surveillance audit will take place. DeuZert® will arrange the precise target date with the educational organization.

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 nonconformities 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 2 months.

DeuZert® will contact the educational organization 4 month before the target date and provides the organization with the application form for re-certification. The educational organization applies for re-certification not later than 3 months before the end of the validity period of the actual certificate.

If there are significant changes with the educational organization 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 at first certification.

The decision on the prolonging of the certificate will be similar to the decision of certification also described for first certification.

Further regulations

- The head of sales network/ customer service or an authorised representative employee examines the inquiry on correctness and completeness. A further examination on if the inquiry 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 inquiry. If the inquiry is denied, reason for the denial is provided to the educational organization in writing.
- The educational organization may object to any nomination of any auditor or expert. On request the educational organization 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 educational organization immediately and, if possible, DeuZert®. 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 educational organization 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 educational organization, there is the possibility of submitting a complaint in writing. Any time complaints may provide to DeuZert® in writing.
- DeuZert® provides the educational organization with notification of changes of the requirements concerning the certification in due time. The educational organization 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 educational organization is handled confidential with highest priority and are only revealed to third parties if the educational organization has given his approval in writing. If DeuZert® is legally obligated to reveal confident information about the educational organization to third parties, the educational organization will be notified in advance about the information to be revealed.
- The educational organization grants DeuZert® the right to perform witness audits on the part of the accreditation body. This does not lead to additional costs.
- The educational organization 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 organization (current proof of legal form required) 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.