



# CERTIFICATION PROCESS

## 1. OBJECTIVE

Objective of this procedure is receipt of the application for certification and determination of method and responsibility for the realization of certification process.

## 2. CERTIFICATION PROCESS

### 2.1. Certification Application

#### 2.1.1. Receipt of Application

Applications for certification, the Certification Application Form may be obtained in person or electronically (by fax, e-mail or through the Q-check website).

Q-check requests information necessary to ensure the following from the authorized representative of the client organization:

- a) The scope of certification determined,
- b) Name of the applicant organization and the addresses of sites, processes and operations, functions, relationships and all legal obligations of human and technical resources,
- c) Information on all outsourced processes used by the organization, which will affect compliance,
- d) Standards and requirements, for which the applicant organization request certificate,

With regards to the management system, information about getting consulting.

Application stage of the customer organization, the documents requested are as follows:

- Signatory circular or declaration of signature of the authorized signatory
- Copy of the Trade Registry
- Chamber Operating Certificate
- Licencies related to legal regulations

#### 2.1.2. Review of Applications

Certification applications will be collected at Head Quarters by the Administration Department which will pass to the appointed personnel of the Certification Body for review.

For the certification application to be accepted, the management system should have been applied for a period not less than 2 months. Head of the Certification Body will review the application of the client organization in accordance with the Application Review Form for the implementation period of the management system and to ensure the following and approve if it's appropriate:

- a) that the information about the applicant client organization and management system is sufficient to conduct audit,
- b) that the conditions of certification are clearly described, documented and provided to the applicant organization,

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- c) an analysis of the understanding difference between the applicant organization and Q-check,
- d) that Q-check has the competence and ability (such as the ability of auditors and technical experts in an accredited certification request),
- e) The scope of certification, the applicant's field of activity and number, other factors (such as language, safety requirements, threats to impartiality) affecting time and certification activities that are necessary to conduct the audits.
- f) Keeping records of the justification for the decision related to the audits.

If Q-check lack proper auditor, technical expert or personnel to take part in the certification decision during the review, the personnel and competency they should have will be specified in the Application Review Form and they are ensured to be provided.

If the application is for certification of an integrated management system, Q-check will review at the application stage the information related to integration level, as well as the integration level of documents, requirements and responsibilities of the management system.

At this stage, the audit time and the reduction or increases, if any, in audit time are described in the Application Review Form.

These reductions and increases are reported to the audit team with the **FQF.29 Job Appointment form**. When there is any change in the reductions and increases criteria, the application review process is repeated, ensuring that the audit team reports changes to the planning responsibilities.

### 2.1.3. Quotation Offer

As a result of the review conducted and approval given by the Head of the Certification Body, the Head of Executive Operation in the Administration Department prepares an offer for the client organization and forwards to the applicant.

letter containing information on the documents required during application will be drafted and communicated to the organization signed by the appointed officer.

### 2.1.4. Certification Contract

After finalization of the certification application the Head of Executive Operation will prepare Certification Agreement in 2 copies.

The Certification Agreement prepared in 2 copies will be sent by the Head of Executive Operation to the client organization.

Both of the copies of the Certification Agreement will be sent to Q-check to be signed by the authorized person of the client organization.

Q-check's authorized signatory will sign the Certification Agreement after the 2 signed copies are sent back by the authorized officer of the client organizations. A copy of the signed certification Agreement will be sent to the client organization and the other copy will be kept in the file of the client organization.

### 2.1.5. Application for Change of Scope

When answering the application for the expansion of the scope of certification, Q-check will carry out a

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feasibility study to determine whether the expansion can be made, and determines the audit activities necessary for the feasibility study.

Audit for expansion of scope will be planned and conducted at the client organization who accepts the offer expansion of scope. Expansion of scope may, where appropriate, be carried out with the surveillance audit.

If the request is for reducing the scope, a new certificate will be issued without conducting an audit.

## 2.1.6. Application for Change of Address

In case of application for change of address by the client organization, audit for change of address will be planned.

## 2.2. Audit Planning

### 2.2.1. General

Audits to be conducted within the structure of Q-check will be planned by the Head of Executive Operation taking into account;

- The status of the applications,
- Surveillance and re-certification audits and other short-notice audits,
- Status of the auditors and technical experts,
- The demands of the client organizations

When management system audits are planned, each technical area covered by the audit is ensured to be audited by an audit team to fulfil the competence requirements set by the Q-check and they are ensured to be dealt with in the audit plans.

When integrated management system audits are planned, each area related to each management system standard covered by the audit is ensured to be audited by an audit team to fulfil the competence requirements set by the Q-check and they are ensured to be considered in the audit plans.

When creating audit plans for integrated management system -if necessary/requested- present application documents relating to the management systems standards (eg: Integrated management system required documents) will be taken into account.

### 2.2.2. Planning the Initial Certification Audit

Certification audits are planned in 2 (two) stages, as "Stage 1" and "Phase 2", and may be determined to be conducted at the client's site.

In cases where Stage 1 audit is required to be conducted on site, duration of Stage 1 audit will be planned to be 30% of the total audit time and Stage 2 to be 70% of the total audit time. In cases where Stage 1 audit is not required to be conducted on site, duration of Stage 1 audit will be planned to be 20% of the total audit time and Stage 2 to be 80% of the total audit time.

The time between Stage 1 and Stage 2 audits cannot be more than 6 months. For longer periods, Stage 1 audit must be conducted again.

Head of Executive Operation (Reviwer) will create audit plan by specifying the date and the audit team for Stage 1 audit and notified the client organization for confirmation, in general, (1) one week before the audit.

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When deciding the time between Stage 1 and Stage 2 audits, the needs of the client organization for addressing any issues or concerns or areas of improvement determined in Stage 1 will be taken into consideration. Q-check will also review the arrangements for Stage 2 audit.

Following the completion of Stage 1 audit, Head of Executive Operation will create audit plan by specifying the date and the audit team for Stage 2 audit and notified the client organization for confirmation, in general, (1) one week before the audit.

### 2.2.3. Planning Surveillance Audits

Surveillance audits are conducted at least once in a calendar year, except for years recertification is conducted. Date of the Surveillance audit following the first certification will be determined so as not to exceed 12 months after the date of the certification decision.

Surveillance audits will be planned by monitoring client organizations in accordance with the principles set out above.

Surveillance Audit time will be determined by the Head of Executive Operation , (2) two months before the expiry of the 12-month period and notified to the client organization in order to be confirmed in writing in due time.

When planning Surveillance audits, information about the following topics may be obtained so as to determine whether certified client organization's management system meets certain conditions related to the standards on which certification is based:

- a) Questions asked to the certified client organization, by Q-check about issues related to certification,
- b) Revision of the declaration made by the client organization's activities (eg: promotional material, website),
- c) Requesting the client organization to provide documents and records (on paper and electronically)
- d) Monitoring the certified client organization's performance in other ways.

Afterwards, Head of Executive Operation will create Audit Plan by specifying the audit team notifies the client organization for confirmation, in general, (2) two days before the audit.

### 2.2.4. Planning Re-certification Audit

Date of re-certification audit certificate will be determined on the basis of certificate validity period.

Re-certification audits will be planned by monitoring in accordance with the principles set out above.

To determine the date of re-certification audit for the client organizations whose certificate validity period will end Re-Certification Audit Notification Form will be prepared and communicated by the Head of Executive Operation (2) two months before the certificate validity period is over.

Afterwards, Head of Executive Operation will create Audit Plan by specifying the audit team notifies the client organization for confirmation, in general, (1) one week before the audit.

Recertification audit activities may require a Stage 1 audit, when important changes occur in the management system, in the client organization or in the circumstances the management system is operated (eg: changes in the legislation). In such a case, the Head of Executive Operation will primarily determine the date for the Stage 1 audit and create the Audit Plan and notifies the client organization of the plan for confirmation.

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When deciding the time between Stage 1 and Stage 2 audits, the needs of the client organization for addressing all raises issues or areas of concerns determined in Stage 1 will be taken into consideration. Q-check will also review the arrangements for Stage 2 audit.

Following the completion of Stage 1 audit, Head of Executive Operation will create audit plan by specifying the date and the audit team for Stage 2 audit and notified the client organization for confirmation, in general, (1) one week before the audit.

When re-certification activities are successfully completed prior to the expiry date of the existing certification, the expiry date of the new certification will be based on the expiry date of the existing certification. The issue date on a new certificate will be on or after the recertification decision

If Q-check cannot completed the recertification audit or unable to verify the implemantation of correction and corrective actions for any major non-conformities prior to the expiry date of the certification, re-certification will not be recommended and the validity of certification will not be extended. In this case, the client will be informed and the consequences will be explained.

Following expiration of certification, Q-check may restore the certification if the re-certification activities are completed. Otherwise, at least one Stage 2 audit will be conducted. The effective date of certification will be on or after the recertification decision and the the expiry date will be based on a new certification cycle.

## 2.2.5. Planning of Short-Term Audits

Q-check may conduct short-term audits to investigate complaints, respond to changes or monitor client organizations whose certification is suspended. In such cases, Q-check;

- a) notifies the client organization with the Certification Agreement about conditions under which short term visits will take place and informs the client organization in advance about these visits,
- b) Is more careful in the appointment of the auditing team because the client organizations will have no chance to object to the members of the audit team.

For change of scope auditing, agreement will be reached on whether it will be conducted along with surveillance audit or by a separate audit. According to the agreed condition, a planning will be made for a surveillance audit or an audit on all related materials of the reference standard at the client organization.

In case an audit is necessary for address changes at the client organization, a planning will be made for an audit on all related materials of the reference standard that can be affected by the change in the address.

Follow-up audits will be planned considering the notification in writing of completion by the client organization the corrective action(s). If the time to complete corrective action (s) exceeds 3 (three) months, a planning will be made to re-evaluate the entire system of the client organization.

If the follow-up audit is not accepted by the client organization at the end of the period set for the closure of the corrective actions, in the case of reasonable and force majeure, it may be postponed by the decision of the Head of the Certification Body for a period of maximum 3 (three) months and only once (1).

Head of Executive Operation will create Audit Plan for short-term audits and generally notifies the client organization for confirmation (2) two days before the audit.

## 2.2.6. Audit of Multi-Site Organizations

When sampling for multi sites for the audit of the management system covering the same activities in various sites of the client organization, Q-check implements a sampling programme to ensure proper audit of the management system.

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The number of samples for multi-site organizations at which certification, surveillance or recertification audit will be conducted will be determined in accordance with the following:

1. At least 25% of the sites to be selected for sampling will be selected randomly.
2. When selecting samples the following criteria will be taken into consideration:
  - Results of internal audits of the sites and review audit of the management or the previous audit,
  - Complaints received and corrective / preventive actions regarding complaints conducted,
  - The size of the sites (notable ones),
  - Shift work and documentation,
  - The complexity of management systems and processes managed on sites,
  - Changes occurring since the last audit,
  - Maturity of the management system and knowledge of the client organization,
  - Legal requirements, language and cultural differences,
  - The geographical distribution of the sites.

## 2.2.7. Preparation of the Audit Plan

Audit Plan will be created by the lead auditor appointed, in such a manner for the auditors and technical experts included in the audit team to audit the product/ service / process or substance of the standards related to their areas of expertise.

Audit Plan will be prepared for each auditor to conduct minimum of 8 hours of audit, independently on a daily basis. Where required, duration of audit may be extended up to 2 hours for 1 day. The candidate auditors will not be included in audit/day time.

When preparing Audit Plan, break for food and transport time spent between the sites of client organizations will not be included in the duration of audit.

The audit plan is established in accordance with the objectives and purposes of the audit and covers at least the following:

- a) Objectives of the audit,
- b) The audit criteria,
- c) Description of scope of the audit including organizational and functional units to be audited,
- d) Dates and sites where on site audit activities are to be conducted (if applicable, including different sites and remote control activities)
- e) The expected duration of on site audit activities,
- f) Duties and responsibilities of the members of the audit team and the personnel accompanying them (eg, observers and interpreters)

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## 2.2.8. Informing Client Organization and Audit Team Before Audit

Prior to the audit, an Audit Plan which includes names of the auditors and technical experts to take place in the audit team will be provided to the client organization at which audit will take place. This way, prior agreement will be ensured with the client organization about audit dates and the audit team.

Q-check will also provide the client organization the background information necessary for members of audit team, if requested, in case the client organization appeals to the appointment of any auditor (lead auditor, auditor, external auditor) or technical expert, and where the appeal is justified, before a period of time sufficient to re-establish the members of the audit team. If the client organization requests changes in the audit team members on reasonable grounds, the Head of Executive Operation will ask the organization to provide written reasons. This applies to all audits.

Examples of reasonable cause might be cases of conflict of interest (that the member of an audit team is a former employee of client organization or have given the client organization consultancy services) or previous non-ethical behavior.

When information indicating that they confirmed the audit is received from the client organization, the Head of Executive Operation will inform the appointed members of the audit team by sending Audit Team Information Form.

Lead auditor is responsible for coordination of activities such as informing the audit team and reaching the client organization.

## 2.3. Conducting Audits

Audit and reporting will be conducted according to the Audit Procedures.

## 2.4. Review and Certification Decision

The report prepared by the audit team is not the final decision and serves as a recommendation to the Appointed Certification Personnel (Certifiers).

No recommendations will be made for certification or re-certification decision before the identified major and minor nonconformities are ensured to have been completely closed after the audit

After confirmation of complete closure of non-conformities;

- Stage 1 Audit Report
- - If Stage 1 audit is on site- Stage 1 Audit Plan or Stage 1 Opening/Closing Meeting Form
- Related Check List
- Nonconformity Notification Forms -if any
- Stage 2 Audit Plan
- Stage 2 Opening/Closing Meeting Form
- Records of correction/corrective actions - if any

will be submitted to the appointed Certification Personnel (Certifiers).

The Head of Executive Operation will submit to the Appointed Certification Personnel (Certifiers) records necessary for certification or re-certification decisions.

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It is essential that the person responsible for the certification or recertification decisions are different from those conducting audits.

The person taking the certification or recertification decisions will confirm the following before making decisions:

- a) The adequacy of the information provided by the audit team in terms of certification requirements and the scope of certification,
- b) That the audit team reviews, accepts and verifies the corrections and corrective actions for all the non-conformities showing following:
  - 1) One or more requirements of the management system standards are not met,
  - 2) Cases where significant doubts about the ability to achieve targeted outcomes occur on the client organization's management system.
- c) That the client organization reviewed and accepted the planned corrections and corrective actions for other non-conformities.

Review and Decision Forms for certification or re-certification decisions shall be prepared by the Head of Executive Operation.

Appointed Certification Personnel (Certifiers) will take a decision in the direction of certification or re-certification of the client organization as a result of the review and evaluation of the files regarding the Review and Decision Form.

Appointed Certification Personnel (Certifiers) will take the certification decision on the basis of evaluation of audit findings, conclusions and other relevant information (public information, the review of the client organization on the audit report).

Appointed Certification Personnel (Certifiers) takes the re-certification decisions on the basis of the re-certification audit results, revision of the system during the certification period and complaints from certification users.

As a result of review and evaluation conducted by the Appointed Certification Personnel (Certifiers) information may be requested from the lead auditor who prepared the report for the cases that remain in suspension and that require detailed information. In these cases the decision of the client organization is postponed at a later time. Head of the Certification Body ensures access to necessary information by contacting the lead auditor.

Decisions taken in cases where the audit cannot be conducted will be notified by the Head of the Certification Body, with a letter to the client organization.

After a negative decision of the certification committee concerning certification or identification of an obstacle to the continuation of certification, the related client organization will be asked to apply in writing to the Head of the Certification Body to eliminate the causes in question and to make a request for follow-up audit.

For the first certification, re-certification and follow-up audits, after the positive decision of the Certification Committee, Review and Decision Forms will be signed by the chairman of the Certification Committee, in order to back the decision on behalf of Q-check.

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## 2.5. Issuing Certificates

Appointed Certification Personnel (Certifiers) Certification Decision Forms signed by chairman of the Certification Committee will be submitted to the Head of Executive Operation in order for the certificates to be issued.

The issued certificate will have the following information:

1. Certified client organization's name, geographic location (or geographic location of head office and geographic location of each site if multiple sites are within the scope of certification)
2. Not before the decision day of the certification, issuance of certification, extension or or narrowing of scope of certification or re-certification date,
3. The first date of publication and certification period consistent with Recertification cycle,
4. Identification code (Certificate Number)
5. Standard and/or document Certified control standards used in the client organization and / or normative documents, publications and / or revision number,
6. Where applicable, scope of certification related to the product (including service), process and relevant certification
7. Q-checks's name, address, brand and logo, other logos (such as Accreditation symbol, client's logo)
8. Other information required by standard used for the certification or normative document,
9. When there is need to edit a revised certification document, a way to distinguish the revised document from the previous valid document.

For certificates of multi-site client organization, - where required- addresses of all sites found appropriate for certification may be specified on the certificate or annex to the certificate.

If the client organization submits a written request, Q-check may issue a certificate attachment which contains scope for each site and forward to the organization.

Methods to be applied to the coding of certificates are as follows: The method is described in the Control Procedure for Documents to be applied to the coding of certificates

The issued certificates will be signed by the Director General, under Coordination of the Head of the Certification Body. Its copy will be kept by Q-check in the file of the relevant client organization.

"First Issue Date" in the certificate will be entered as the date of certification decision. In cases where certificates are necessary to be re-issued due to changes in the scope and address, the date on which the certificate is reprinted will be entered in brackets next to "Certification Date". The validity of the certification will be based on "Certification Date".

Certificate of the client organization will be sent by any available electronic or physical means, following payment of the invoices by the client.

Client organizations for which certificates are issued will be recorded by the Head of Executive Operation in the "Client List" which is part of the IT system.

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## 2.6. Maintaining Certification

Q-check will continue certification on the basis of client organization demonstrating that management system continues to meet the requirements of the management standard.

Without a further independent review, based on the positive results of specified by the lead auditor, certification of the customer's organization will be sustained.

For this purpose, Review and Decision Forms will be prepared by the Head of Executive Operation for audits of review, changes in scope or address and title.

Audit reports of the audits conducted for surveillance, change in scope and address and their annexes and Review and Decision Forms will be given by the Head of Executive Operation to the Head of the Certification Body.

Following the evaluation conducted by the Head of the Certification Body, the Review and Decisions Forms for the audits of the approved surveillance, changes in scope and address, and change of title audits will be signed and given to the Head of Executive Operation such that they may be printed.

In the event non-conformities that may cause suspension or withdrawal of certification, lead auditor may request the related audit report and annexes to be discussed by Appointed Certification Personnel to determine whether certification will be continued or not.

To this end, Certification Committee Decision Form for surveillance audits and the audits for the change of the organization title will be prepared by the appropriate appointed personnel will decide whether certification will be maintained or not.

After the evaluation made by the Appointed Certification Personnel Certification Decision Form will be signed for approved surveillance, change of title audits and submitted to be printed to the Planning Supervisor

## 2.7 Suspending Certification

In the event of the occurrence of the following conditions certification will be suspended for a period not to exceed six (6) months:

- Failure of client organization's certified management system to meet the certification requirements, including the effectiveness of the management system, continuously or seriously,
- Certified client organization does not allow the surveillance or re-certification audits at necessary frequency,
- Certified client organization's request for temporary suspension voluntarily.
- It will be stated that major non-compliance is detected as a result of the audits carried out,
- That minor non-compliance identified in the audits cannot be corrected in determined periods,
- Failure to comply with certification rules.
- Failure to pay the audit fee.

In the event suspension of certification is proposed as a result of the audits, decision to suspend will be taken by the Certification. The relevant client organization will be notified in writing, within 1 week of the decision, that certification is suspended.

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In other cases, the suspension of certification decision will be taken by the Certification Manager. The relevant client organization will be notified in writing, within 1 week of the decision, that certification is suspended.

During suspension, the client organization's management system certification is temporarily invalid. In case of suspension, Q-check ensures under the agreement that the client organization does not promote/advertise certification.

In cases where it is determined that client organization does not comply with this, a written warning will be served and legal measures will be taken, if necessary. Q-check, may also take any other measures that it considered appropriate, including the publication of suspension on the web and media.

In the event the client organization fails, for a part of the scope of certification, to comply with the certification requirements constantly or seriously, Q-check may reduce the scope of the client organization's certification, to keep out the part whose requirements are not met. In such a contraction, compliance with the requirements of the standard used for certification will be considered. Suspension of the certificate should not exceed a six month period.

Certification will be withdrawn or appropriate contraction will be made in the scope in the event it the problems that caused the suspension are not resolved within the period allowed by the Q-check.

## 2.8 Restore Following of Certification

If the certified client whose certifications are suspended notify Q-check in writing that grounds for suspension are remedied, suspension will be restored.

To this end, to confirm the grounds for suspension are removed, an audit will be conducted by Q-check in the certified client.

As a result of the audit, suspension of certification of the client whose compliance is verified will be restored

In cases where grounds to suspend are not eliminated, certification will be withdrawn or scope will be reduced in an appropriate way.

The restore following of suspension of certification will be notified of the relevant organization within 1 week following the decision.

## 2.9 Withdrawal of Certification

Certification will be withdrawn in the following cases:

- At the request of the client organization,
- The closing down of the client due bankruptcy or ceasing its activities within the scope of certification,
- Client's scope of production / service delivery to stop,
- Client's legal changes related to ownerships,
- Client does not accept the requirements for suspension,
- Client's activities are not eliminating the reasons to suspend,
- Client's system not confirming to performance of follow-up audit at the end of the suspension period,

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- The identified non-conformancie not remedied in stipulated times in follow-up audits carried out for the lift of suspension,
- Client;s use of certificate in areas different from the scope of certification, misleading and/or unfair use,
- The client not found at the address specified in the certificate,
- Client's forging the certificate and adds,
- Client's not accepting the monitoring and maintainance audits.
- Client's failure to pay the audit fee

REVISION INFORMATION		
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MANAGEMENT REPRESENTATIVE	GENERAL MANAGER

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