

Classification of Breaches by Certification

Bodies

Minor breaches

- Tardy submission of audit and certification documents to VLOG (more than eight weeks after the audit date).
- Faulty and/or incomplete submission of audit and certification documents.
- Issuance of a VLOG certificate without the conclusion of a Standard Usage Agreement or presentation of a VLOG ID.
- Incorrect risk grading of a business by reducing the risk category by one level, despite sufficient audit documentation of on-site conditions.
- Issuance of a VLOG certificate that fails to meet the requirements of the VLOG Standard (e.g., indicating the wrong stage or scope of application). Editorial errors are not considered breaches.
- Failure to note errors in the facility description (e.g., incorrect print number, missing list of relevant service providers, missing documentation of risk category).
- Failure to notify VLOG of expiring or terminated contracts with VLOG customers.
- Issuance of a certificate more than eight weeks after the audit date without conducting a new regular audit
- Certification body fails to notify VLOG promptly of disqualifying a VLOG business or report is slightly delayed (max. five business days).
- Certification body holds internal VLOG training with a slight delay (max. four weeks).
- One-time failure to participate in the annual VLOG certification body meeting.

Significant breaches

- Occurrence of more than two minor breaches within one year.
- Incorrect risk grading of a business by reducing the risk category by two levels, despite sufficient audit documentation of on-site conditions.
- Improper action by the certification body (e.g., failure to implement four-eyes principle in certifying audit documents).
- Incorrect evaluation/assessment by the certification body and/or the auditor (e.g., use of a non-VLOG-recognised laboratory, insufficient sampling and test plan).
- Certification body's independence and objectivity are compromised with respect to certain areas/aspects (e.g., certification body and/or its staff (including auditors) has/have a business relationship (except for certification) or a family/private relationship with the audited business).
- Late notification (by more than six business days) or failure to notify VLOG of a disqualification (K.O.).
- Issuance of VLOG certificates with an overly long duration.
- Inaccurate data regarding certification body staff (auditors, evaluators, certifiers) (e.g., faulty audit list).

- One-time use of auditors, evaluators or certifiers who lack adequate qualifications.
- Certification body fails to hold internal VLOG training or conducts training significantly past the deadline (by more than four weeks).
- Auditor conducts more than three regular VLOG audits of the same business in a row.
- Auditor conducts VLOG audits of a business for which he provided consulting services within the last two years.
- Certification body fails to cooperate with the VLOG Integrity Programme (e.g., provision of inadequate information or documentation). Certification body fails to submit a statement regarding a breach on time or only responds after a repeated request.
- Certification body fails to meet individual requirements, as set forth in the Guideline for Certification Bodies, Auditors, Evaluators and Certifiers, for the implementation of VLOG certifications in the quality management system.
- Failure to take corrective action within the established time period after a minor breach.
- Repeated failure to participate in the annual VLOG certification body meeting.

Major breaches

- Occurrence of more than two significant breaches within one year.
- Repeated use of auditors, evaluators or certifiers who lack adequate qualifications.
- Wilful or grossly negligent breach of VLOG auditing and certification rules (e.g., certification outside the VLOG Standard's scope of application).
- Certification body deliberately manipulates audit reports, test reports or documents (e.g., use of an auditor who lacks qualifications and of the documentation for a different auditor with adequate qualifications in the audit documents; inaccurate CVs for auditors, certifiers, and evaluators).
- Certification body jeopardises compliance with laws and accurate advertisement of VLOG products/feeds with faulty evaluation/assessment.
- Failure to conduct an on-site facility inspection during a VLOG regular audit of a business.
- Use of incorrect Standard documents, which affects the certification decision (e.g., incorrect version of the Standard, incorrect version of the checklist).
- Certification body denies access to its business offices for VLOG employees on an announced Certification Body Integrity Audit day, even though the auditor and the date of the audit were announced at least two weeks in advance.
- Repeated rejection of persons proposed by VLOG for Witness Integrity Audits.
- Certification body fails to notify VLOG of its loss of accreditation under ISO/IEC 17065.
- Certification body fails to meet multiple requirements, as set forth in the Guideline for Certification Bodies, Auditors, Evaluators and Certifiers, for the implementation of VLOG certifications in the quality management system.
- Certification body fails to take corrective action after a significant breach.
- Certification body fails to take corrective action after a major breach.

The above-listed breaches are intended to serve as guidance in evaluating and classifying breaches not mentioned here. The four-eyes principle will be used to assess and categorise breaches.