



Requirements for Certification Bodies and Auditors

Dissemination level: public

Last update: 2023-02-08

Contents

1	Scope and Normative References	4
2	Definitions of Terms	5
3	Requirements for Certification Bodies	6
3.1	General Requirements.....	6
3.2	Independence and Impartiality.....	6
4	Duties and Responsibilities of Certification Bodies.....	7
4.1	Accreditation of the CB	7
4.2	Appointment of a CertifHy System Manager	7
4.3	Staffing requirements	7
4.4	Quality Management.....	7
4.5	Risk management	8
4.6	Documentation and handling of information.....	8
4.7	Sanctions	9
4.8	Complaints and Appeals.....	9
5	Requirements for Auditors	10
5.1	General Requirements.....	10
5.2	Required qualifications, experience, and training	10

Status of this document

This document, Requirements for Certification Bodies and Auditors, is part of the ‘CertifHy Scheme’ providing details related to the Procedure 0.3 - Approval of Certification Body.

In the event of conflict between the text of this document and other documents of the CertifHy Scheme, the other CertifHy Scheme documents shall always take precedence.

The CertifHy Scheme - Requirements for Certification Bodies and Auditors document was formally approved by the CertifHy Steering Group on 24 November 2022.

The effective date of this CertifHy Scheme subsidiary document is 25 November 2022.

Change History

Version	Date	Description
0.1	15.05.2022	First working draft
0.2	13.09.2022	Second working draft
1.0	10.11.2022	First version for endorsement
1.1	08.02.2023	Update on title and document status

1 Scope and Normative References

The requirements specified in this document apply to all Certification Bodies (CB) and Auditors conducting audits or performing certification services under the CertifHy certification scheme. The requirements apply on a global basis.

As a basic principle, all CertifHy documents published on the CertifHy website in their latest applicable version are valid and must be considered for the scope of application.

ISO/IEC 17065 Conformity assessment – Requirements for bodies certifying products, processes and services.

ISO 19011 Guidelines for auditing management systems.

2 Definitions of Terms

Term	Definiton
Auditor	Person working for a Certification Body carrying out Production Device Audits or Production Batch Audits
CertifHy System Manager	Person working for a Certification Body appointed by this Certification Body to act as main contact person for CertifHy

3 Requirements for Certification Bodies

3.1 General Requirements

The Certification Body (CB) must ensure appropriate expertise and experience, both in the relevant fields of activity and for the types of auditing tasks it is to undertake.

The CB must hold a valid accreditation for the certification of products, processes or services according to ISO/IEC 17065, and must provide proof of this accreditation to CertifHy as part of its application for approval.

The CB has implemented a competence management related to the personnel involved in the certification process according to ISO/IEC 17065.

The CB must have established a dedicated scope for hydrogen certification.

3.2 Independence and Impartiality

The CB, as well as its Auditors and employees must be impartial and free of conflicts of interest. Audits and decisions may not be affected by personal relationships, commercial or financial incentives or other types of influences. The Certification Bodies and the Auditors are independent of entities audited. The CB must establish documented procedures to appropriately identify and manage any conflicts of interest arising in the context of CertifHy certification activities.

4 Duties and Responsibilities of Certification Bodies

4.1 Accreditation of the CB

If in any case, the accreditation is suspended, withdrawn or terminated by the accreditation body, the concerned CB is obliged to inform CertifHy immediately.

4.2 Appointment of a CertifHy System Manager

The CB must appoint one CertifHy System Manager fulfilling the following qualifications:

- At least two (2) years higher education diploma or equivalent in a discipline relevant to the scope of certification
- English language skills to read, comprehend, interpret, implement, report-writing, and otherwise handle the original documents published by CertifHy
- Experience in and knowledge of auditing traceability in chain of custodies, such as mass balance systems and data collection and handling.

The CB must provide CertifHy with the name and contact details of the selected auditor via e-mail. The name of the appointed CertifHy System Manager of the CB will then be included in the information in the CertifHy list of approved CBs.

The CertifHy System Manager must participate in a CertifHy Basic Training and successfully complete it. The CertifHy System Manager shall participate in meetings for approved CBs organised by CertifHy.

The system manager is also responsible for informing all relevant members of staff within the CB about updates and amendments to any aspects relevant to the certification process as indicated by CertifHy (e.g. through CertifHy Scheme Updates, notifications to CBs, etc.).

4.3 Staffing requirements

The CB has to ensure that it has sufficient qualified staff fulfilling the requirements listed in section 5 below.

The CB is responsible for ensuring that Auditors participate in the required trainings (see section 5 below) and successfully complete them.

The CB must maintain and provide appropriate records of the education, training, skills and experience of each Auditor and other relevant staff working for the CB.

The CB must provide proof to CertifHy as part of their application for approval by CertifHy, and upon request by CertifHy, that its Auditors fulfil the CertifHy requirements defined in section 5 below.

The CB must have a procedure in place to ensure that every auditor conducts at least one audit annually under an CertifHy standard to maintain scheme knowledge.

4.4 Quality Management

CertifHy undertakes a number of measures to monitor scheme integrity and guarantee the quality of audits as well as compliance with the scheme requirements.

The quality management of the CB should aim for a continuous improvement of its activities related to CertifHy. This includes preventative, monitoring and corrective measures to assure a high level of quality. The integration of CertifHy into the quality management system of the CB should cover

1. Internal processes of the CB, which includes sufficient process descriptions and clear responsibilities related to activities performed in relation to CertifHy;
2. Services provided to external parties (Account Holders and Registrants). This includes the communication with customers, the preparation and performance of audits and the handling of complaints from Account Holders and Registrants.

Approved CBs are obliged to submit an annual report to CertifHy by the end of February for the preceding calendar year. This report must have the following structure including the following information:

- Administrative information: Name and contact details of CB,
- Audits performed: number of Production Device Audits and Production Batch Audits conducted by the CB during one calendar year,
- Certificates issued: the number of CertifHy Certificates covered by each of the Production Batch Audits,
- Non-conformities, corrective actions and detected risks: a summary of significant non-conformities, corrective actions and risks which have been detected during audits or in relation to CertifHy,
- CB accreditation status: the status of the CB's accreditation, and
- Any other business: any other issues the CB assesses to be relevant for reporting to CertifHy.

The goal is to identify weaknesses, to prevent incorrect or insufficiently substantiated information and harmonise the auditing quality of the CBs active in the CertifHy scheme. CertifHy is entitled to use this information to fulfil its reporting obligations to the European Commission and to competent national authorities.

4.5 Risk management

With its risk management, the Certification Body ensures that all Production Devices under the CertifHy scheme are audited at sufficient intervals and with adequate intensity. This is intended to ensure the greatest possible reliability in the implementation of the requirements of the CertifHy certification scheme.

During any Production Device Audit or Production Batch Audit, the Auditor must carry out risk evaluation or risk assessment. The result of the risk evaluation drives the intensity of the audit and influences the size of the sample.

4.6 Documentation and handling of information

CBs must document properly all CertifHy audits carried out in an internal register. Such a register must at least contain the names, addresses, registration numbers, CertifHy audit procedures applied during the audit and audit reports of the audited

entities. The register must be updated on an ongoing basis. Storage of the register must fulfil high security standards, be complete and transparent. CBs must keep information in the register and all documents for at least 10 years. The CB is required to store the register in such a way that it is possible at any time for CertifHy to check the results and records.

The CB must ensure that the applicable CertifHy audit procedures valid at the time of the audit are used for each audit conducted. An audit report must be prepared for every audit performed. CertifHy provides a template for such an audit report to be published on the CertifHy website. CertifHy will inform the CBs about updates to the template, and the starting date of applicability of the updated template.

The audit reports are provided exclusively to the Account Holder or Registrant having requested the certification from the CB, and to CertifHy. If an Account Holder or Registrant switches to another approved CB, the first CB is required to provide the Account Holder or Registrant with the required data where such data is not available to the Account Holder or Registrant.

Account Holders and Registrants shall not switch CBs too frequently. Where more than two CBs are contracted by an Account Holder or Registrant carrying out Production Device Audits or Production Batch Audits in relation to the same Production Device within three years, prior approval from CertifHy is required in writing based on due justification by the Account Holder or Registrant.

The CB is obliged to provide sufficient documents to CertifHy for each audit performed by the CB; this also applies to audits with a negative result.

Certification documents must be forwarded to CertifHy in a way that they can be reviewed and processed by CertifHy without disproportionate effort.

4.7 Sanctions

Non-compliant behaviour by the CB or its Auditors will be examined by CertifHy on a case-by-case basis with respect to the type and the level of non-compliance. CertifHy may define the type and level of sanctions it may impose on the CB.

4.8 Complaints and Appeals

Complaints and appeals by Account Holders and Registrants related to audits and other certification activities conducted by the CB and its Auditors under the CertifHy scheme should be handled by the CB, which should have a procedure in place to this end, which in turn must be approved by CertifHy. The procedure should enable the CB to process complaints and appeals in an effective, timely and professional manner.

The objective of this procedure is to find consensus about the controversial issues. Where Account Holders and Registrants cannot agree with the CB on such complaints and appeals, the issue shall be brought to the attention of CertifHy for resolution.

5 Requirements for Auditors

All Auditors must meet general requirements and have qualifications to be allowed to conduct CertifHy audits.

5.1 General Requirements

During any Production Device Audit or Production Batch Audit, the Auditor must:

- Identify and understand the activities and processes undertaken by the audited Account Holder or Registrant, its overall organization with respect to the CertifHy criteria and the effective implementation of relevant control systems;
- Analyse the risks, based on the Auditor's professional knowledge and the information provided by the Account Holder or Registrant;
- Draw up and carry out a verification plan, corresponding to the risk analysis and the scope and complexity of the Account Holder's or Registrant's activities, including relevant evidence, upon which the final conclusion will be based. The CertifHy audit procedures may be used for this;
- Request the Account Holder or Registrant to provide any missing elements, explain deviations, or revise claims or calculations before reaching a final conclusion.

Thus, the following requirements apply to all Auditors:

1. Technical knowledge and a good understanding of the audited activities of the Account Holder or Registrant relevant to CertifHy, sufficient for identifying, assessing and managing the risks during each audit the Auditor performs.
2. Good proficiency in English; where documentation to be audited is in another language, at least one member of the audit team must be proficient in that language.
3. Personal and professional behaviour in the sense of ISO 19011 (e.g. ethical, open-minded, diplomatic, observant, perceptive, versatile, tenacious, decisive, self-reliant). Auditors should follow the seven "principles of auditing" (integrity, fair presentation, due professional care, confidentiality, independence, evidence-based approach, and risk-based approach) according to ISO 19011 when conducting CertifHy audits.
4. Auditors are not permitted to carry out any activities which may affect their independence or impartiality, and specifically must not carry out any consultancy activities for the CertifHy Account Holders or Registrants whom they audit for compliance with CertifHy requirements.

5.2 Required qualifications, experience, and training

The Auditors must have the qualification as external auditor according to ISO 19011. Auditors must have three years of work experience as external auditors according to ISO 19011. Auditors appointed by the CB in 2025 or later must have two years of work experience in hydrogen.

The Auditors must be trained for the hydrogen scope and for the certification of renewable and non-renewable hydrogen. Auditors must have competence in carbon footprint calculation and verification, either through education at university or technical college level, specific professional training, or professional experience.

Participation in the CertifHy basic training including successfully passing the test included in the training before appointment as Auditor is mandatory. Participation in the CertifHy basic training including successfully passing the test included in the training must be repeated at least every five years. CertifHy has the right to regularly verify exam contents and implement new requirements if these become substandard by any CB.

Candidates must carry out at least three trainee Audits within a maximum of three consecutive years under the direction and guidance of an appointed auditor for the hydrogen sector before being appointed as Auditors by the CB. This requirement applies from 2025 onwards.

After the Auditors are appointed by the CB, regular participation - at least once a year - in training for the CertifHy scheme including successfully passing the test included in the training is mandatory starting in 2024.

Each Auditor must carry out at least one audit per calendar year starting in 2024. Exceptions may be agreed between the CB and CertifHy on a case-by-case basis, e.g. because of long-term sick-leave, sabbatical or other, and possible additional training needs or similar will be defined in each case.