U/TD **17.0**

Published

Certification system

Rules, procedures and requirements for certification ugra.swiss

Keywords
ISO 12647-2, ProcessStandard Offset, PSO, UgraPSO, swissPSO, ugra.swiss

Related documents

U/TD 17.1 Certification program Organisation
U/TD 17.2 Certification program Documentation
U/TD 17.3 Certification program Premedia/Publishing
U/TD 17.4 Certification program Standard illumination
U/TD 17.5 Certification program Digital proof
U/TD 17.6 Certification program Printing plate making
U/TD 17.7 Certification program Printing process
U/TD 17.8 Certification program Postpress

Document control

Created / Initials	Reviewed / Initials	Approved / Initials	Issue
22.02.2016 / MS	23.12.2016 / MS	03.01.2017 / MS	V 1

Change management

Revision / Initials	Reviewed / Initials	Approved / Initials	Revised Issue
dd.mm.yyyy /	dd.mm.yyyy /	dd.mm.yyyy /	V 2

Ugra
Lerchenfeldstrasse 5
CH-9014 St. Gallen
www.ugra.ch

Table of Content

1 Introduction

A certification system describes the rules, methods and organizational procedures for carrying out certifications according to International ISO standards or national standards and specifications.

This document describes a certification system for the printing and media industry. Owner of this certification system and certification programs is Ugra based in St. Gallen. The aim of the certification system is the independent conformity assessment by a third party for all interested organizations from the printing and media industry. The certification system is applicable worldwide.

The certification system describes the organizational and functional approach for the conformity assessment of printed products as well as processes related to defined requirements. The basis for the conformity assessment are defined in the quoted standards and specifications.

2 Certification system

2.1 Functional approach

The certification system follows the following functional approach according to ISO 17067:2013:

- **Selection**: includes planning and preparation activities in order to collect or produce all the information and input needed for the subsequent determination function;
- **Determination**: conformity assessment activities such as testing, measuring, inspection, design appraisal, assessment of services and processes and auditing to provide information regarding the product requirements as input to the review and attestation functions;
- **Review**: which means verification of the suitability, adequacy and effectiveness of selection and determination activities, and the results of these activities, with regard to fulfilment of specified requirements;
- **Decision**: on certification;
- **Attestation**: which means issue of a statement of conformity, based on a decision following review, that fulfilment of specified requirements has been demonstrated;
- **Surveillance**: which means systematic iteration of conformity assessment activities as a basis for maintaining the validity of the statement of conformity.

NOTE 1: Selection: The activities are usually carried out by the auditor on the day of the on-site audit. Upon request, the applicant shall provide the necessary documents or information to the auditor before, during or after the audit.

NOTE 2: Determination: Conformity assessment activities such as auditing, assessment of the processes, inspection of documents, testing and measuring are carried out by the auditor on the day of the on-site audit. For specific products, the conformity assessment activities are carried out after the audit in the accredited test laboratory of the certification body.

NOTE 3: Review: Verification of the suitability, appropriateness and effectiveness with regard to the fulfillment of the established requirements is carried out by the auditors. The results of these activities and the formulation of the conformity statement are documented in the audit report.

NOTE 4: Decision: On the basis of the audit report, the certification body decides whether the conformity statement is confirmed or not confirmed.

NOTE 5: Attestation: The conformity statement is confirmed by a certificate of conformity. The issuing is organized by the certification body.

NOTE 6: Surveillance: The certification body shall periodically carry out a surveillance during the certification period, which shall serve as a basis for maintaining the validity of the certificate. The certification body also monitors the correct use of the conformity mark by the certified organization.

Table 1 – Functional approach the certification system

Conformity assessment functions and activities		**Program**[1]	**Initiator**[2]
I	**Selection**	X	A
II	**Ermittlung von Eigenschaften** a) testing b) inspection c) assessment of services or processes d) other determination activities, e.g. verification	X	A
III	**Review** Examining the evidence of conformity obtained during the determination stage to establish whether the specified requirements have been met	X	A
IV	**Decision** Granting, maintaining, extending, reducing, suspending, withdrawing certification	X	CB
V	**Attestation** a) issuing a certificate of conformity or other statement of conformity (attestation) b) granting the right to use certificates or other statements of conformity c) granting the right to use marks of conformity (licensing) is based on surveillance (VI)	X	CB
VI	**Surveillance** a) testing or inspection of samples from the factory b) assessment of the production, the delivery of the service or the operation of the process	X	A

1) This Product Certification System corresponds to the program type 3 acc. to ISO 17067:2013 [ISO/IEC 17067:2013 *Conformity assessment – Fundamentals of product certification and guidelines for product certification schemes*. Page 16]

2) A = Auditor, CB = Certification body

2.2 Certification programs

The certification system consists of certain certification programs for products or processes. For each certification program the defined requirements are defined in an underlying ISO standard or specification. The certification system consists of the following certification programs:

1. Organisation
2. Documentation
3. Premedia/Publishing
4. Standard illumination
5. Digital proof
6. Printing plate making
7. Printing process
8. Postpress

The certification programs include the examination of organizational and technical processes as well as of semi-finished products and products.

NOTE 1: Organizational processes are understood to mean all processes, procedures or instructions which contribute to the fulfillment of the defined requirements.

NOTE 2: In this context, technical processes are understood to mean processes as follows: Input > Transformation > Output.

NOTE 3: In this context, both products and semifinished products, which are necessary for the production of the end product, are understood as products.

NOTE 4: The organization shall procure and consult all the underlying standards.

Tabelle 2 – Certification programs

N°	**Certification programm**	**Product / Process**
17.1	Organisation	Process workflows
17.2	Documentation	Process workflows
17.3	Premedia/Publishing	Data creation, preflight, display
17.4	Standard illumination	Illumination and viewing conditions
17.5	Digital proof	Digital proof
17.6	Printig plate making	Printing plates
17.7	Printing process	Printed sheet
17.8	Postpress	Folded sheet

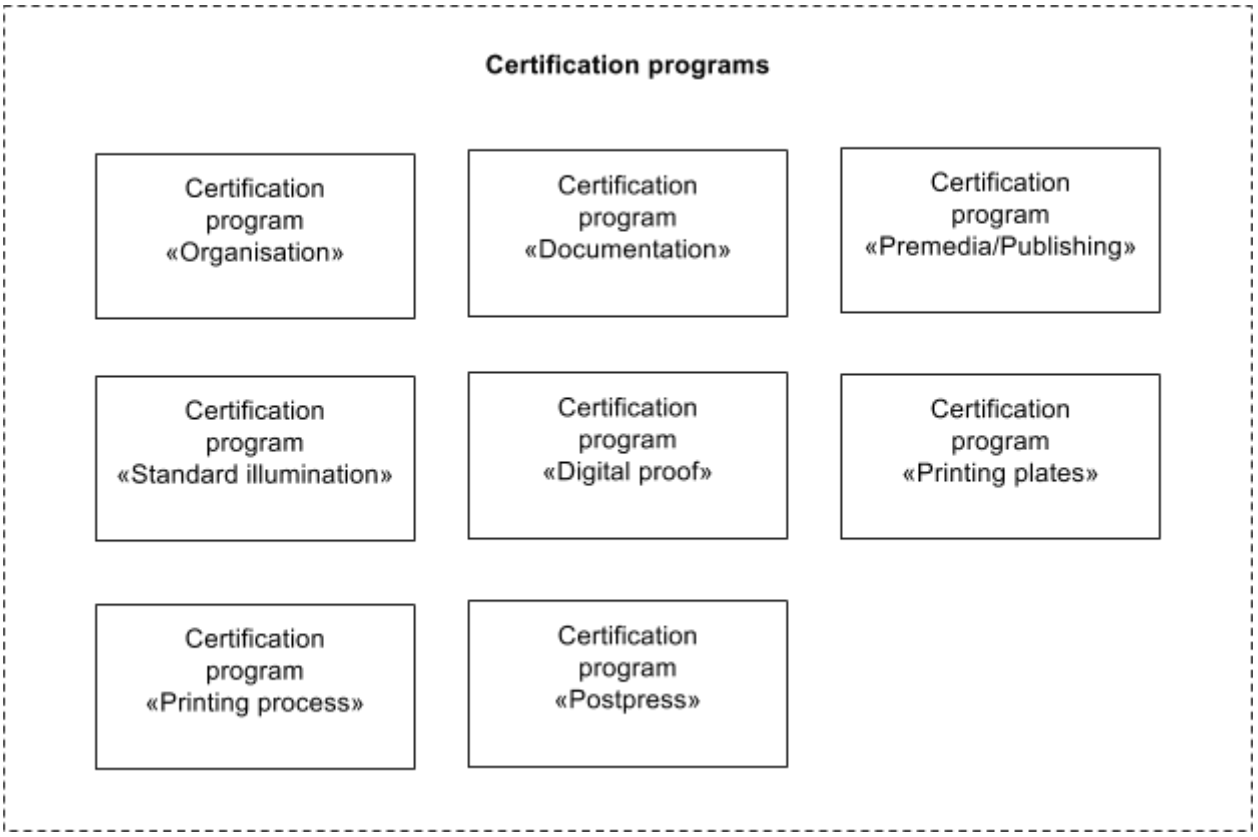

Fig. 1 – Certification system with certification programs

3 Content of the certification system

3.1 Objectives

With the present certification system, Ugra intends to promote the certification of interested organizations by a third party. The certification system can be applied worldwide.

3.2 Scope of application

The certification system is to be applied worldwide in the sectors according to Table 3.

Tabelle 3 – Scope of application

EA Code	**Sector description**	**NOGA 2008**	**NACE-Code, Rev. 2**	**ISIC Rev. 4**
9	Printing industry	18[1, 2, 3, 4, 5]	18[1]	18[1]
1) 18 Production of printing products 2) 1812 Printing 3) 1813 Prepress and premedia services 4) 181301 Prepress activities 5) 1814 Binding and related services				

Tabelle 4 – Allocation of applicable certification programs

Organisation	**17.1**	**17.2**	**17.3**	**17.4**	**17.5**	**17.6**	**17.7**	**17.8**
Agency/Premedia[1]	✓	✓	✓	✓	✓	✗	✗	✗
Printing plant, fully integrated[2]	✓	✓	✓	✓	✓	✓	✓	✓
Printing plant[3]	✓	✓	✗	✓	✗	✗	✓	✓
Bookbindery[4]	✓	✓	✗	✗	✗	✗	✗	✓
1) 1813 Prepress and premedia services; 181301 Prepress activities 2) 1812 Printing; 1813 Prepress and premedia services 3) 1812 Printing 4) 1814 Binding and related services								

NOTE 1: Agency/Premedia pre-press means organizations such as production agencies as well as repro- and prepress service providers.

NOTE 2: Printing plants[3] without any prepress activities (composition, layout, photo editing) will be audited only for preflight (incoming data) acc. to certification program 17.3.

3.3 Bodies

3.3.1 Certification body

Ugra is the responsible third-party certification body. Ugra may contractually authorize other certification bodies, also acting as third party, to carry out certifications in certain regions as subcontractors in a limited time. The subcontractor must sign a legally binding contract.

3.3.2 Auditors

The auditors must be qualified for the excercise of the audit function. Their appearance is always neutral, independent and factual. Ugra may contractually authorize external auditors, which also represent a third party, to carry out audits in certain regions as a subcontractor (SUB) for a limited period of time. The SUB has to successfully complete a training course “Ugra Certified Expert“ (UCE) and to repeat it on a regular basis. The SUB is published as an authorized audit partner on the Ugra website.

3.3.3 Testing laboratory

Tests and measurements on products to be carried out to determine the conformity of the requirements of this certification system shall be carried out by an accredited laboratory according to ISO/IEC 17025.

3.3.4 Steering committee

Ugra uses the experts of its Technical Advisory Board "swiss4color" to verify and validate the certification system by third parties. The Steering Committee may make recommendations for the further development of the certification system.

3.4 Registration for certification

An organization interested in the certification can register either with the written application form or with the online form for the certification.

On request, a briefing can be carried out beforehand. In this interview the following questions are clarified with the prospective customer:

- Objectives and benefits of certification
- Prerequisites for certification
- Procedure of the certification process
- Costs and deadlines

By signing up for certification, a contract is concluded between the applicant and Ugra.

3.5 Certification process

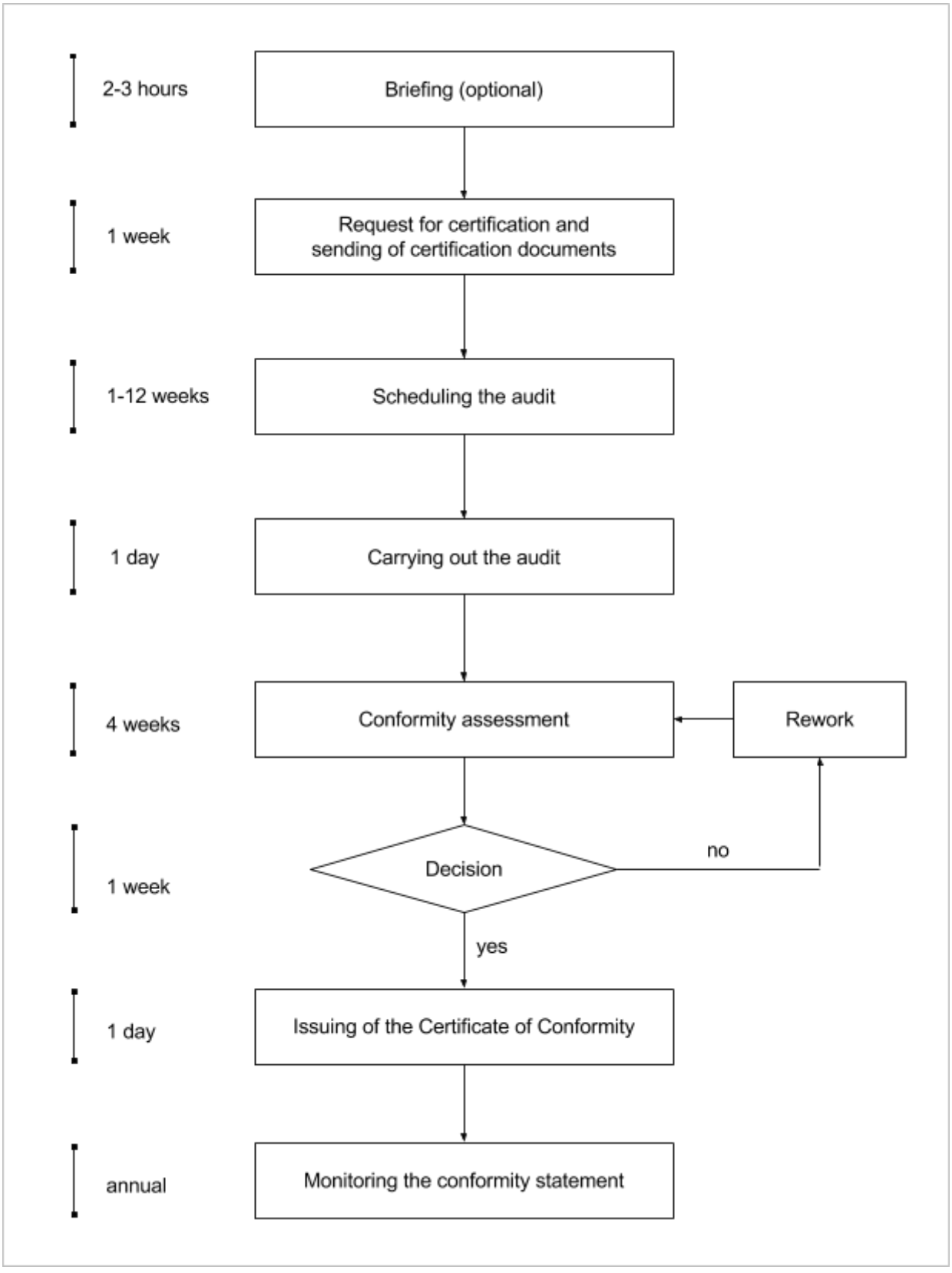

Fig. 3 – Certification process

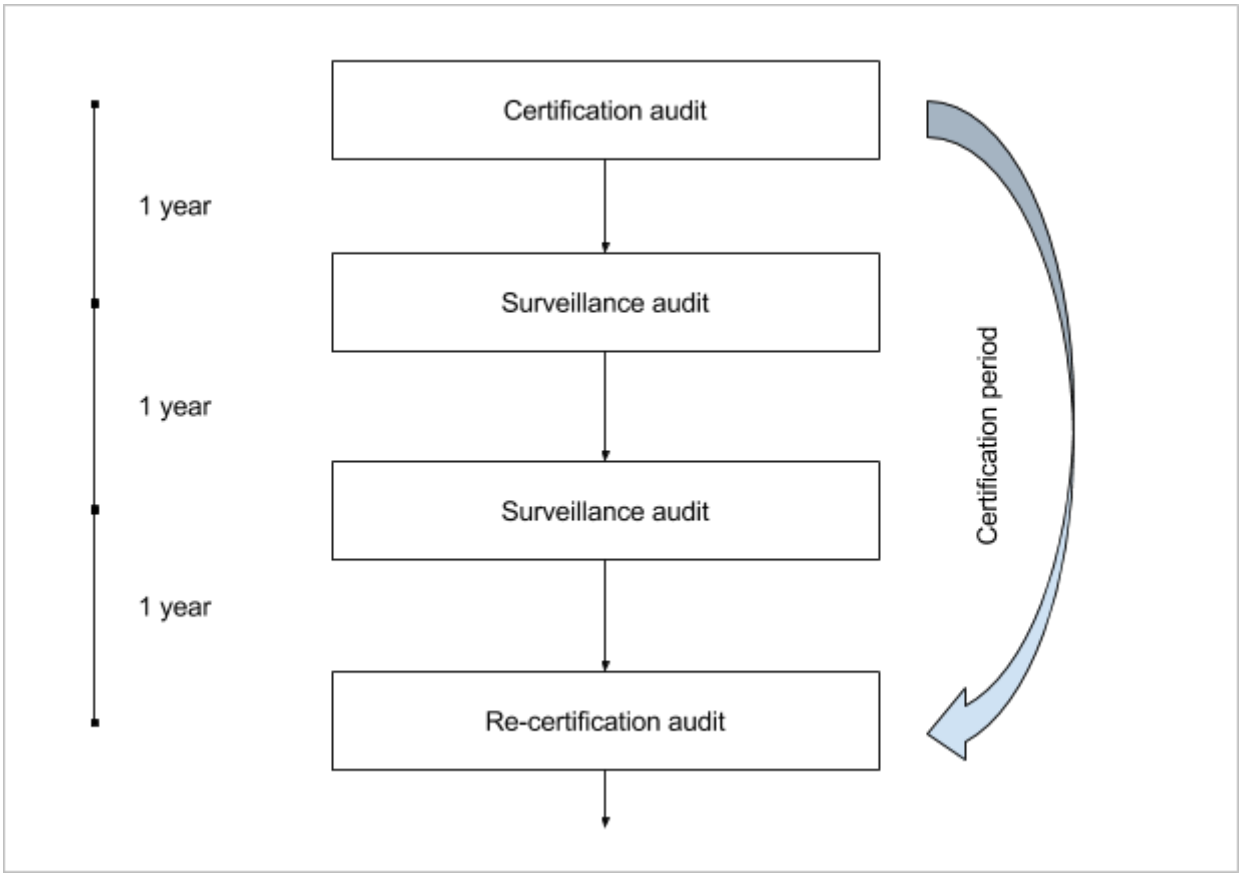

Fig. 4 – Certification period

3.5.1 Certification audit

The certification audit takes place every 3 years. The auditor examines all requirements according to the scope and the certification system.

3.5.2 Surveillance audit

The surveillance audit takes place annually during the three-year certification period. In this audit, the auditor shall focus on the areas in which requirements are to be met. In addition, the certified organization can propose areas as a focus for the audit in which it has initiated an improvement process and would like to have an assessment.

3.6 Obligations of the certification body

3.6.General

Ugra keeps records of the audits and the assessment of the certification. Ugra guarantees the archiving of certification documents for a maximum of three years after the end of a certification period. Samples collected for testing and measurement are archived as a maximum until the end of a certification period.

Ugra undertakes to treat all collected data confidentially in the context of the certification procedure and not to pass it on to third parties.

3.6.2 Formulation of the conformity statement

On the basis of the audit report, the auditor formulates the declaration of conformity and applies for confirmation by the certification body. Ugra's certification body then decides on the confirmation of the conformity statement.

If the conformity statement is confirmed, the certification body issues a certificate of conformity and a conformity mark.

If the conformity statement is not confirmed, the organization to be certified will be given the opportunity to improve the functions for which the conformity of the established requirements has not been confirmed.

3.6.3 Publications

Ugra as a certification body is entitled to publish all certified organizations on their homepage (www.ugra.ch) or to announce them on request by third parties. This obligation to provide information relates to the name of the organization, the type of certification, the certificate identification number (ID), the period of validity and the scope of the certificate.
With the conclusion of the contract, the applicant grants Ugra the right to publish the above mentioned data.

3.7 Obligations of the certified organization

The certified organization must ensure:

1. that all relevant changes regarding the technical equipment and production procedures of the scope are reported to the certification body;
2. that a change in location, a decommissioning or sale of the printing machine of the relevant scope are reported to the certification body;
3. the legal requirements are always adhered to;
4. the rules for the reference to certifications and the use of the conformity mark must be complied with all the time;
5. The products or other documents are marked correctly.

3.8 Marking of certification

3.8.1 Conformity mark

To identify a valid certification conformity marks (Fig. 5 and Fig. 6) are used. The Ugra conformity mark (Fig. 5) contains a validation date and an identification number (ID). The conformity mark swissPSO (Fig. 6) will continue to be maintained as part of the harmonization process. The use of this label is only permitted for companies based in Switzerland.

Fig. 5 – Ugra conformity mark

Fig. 6 – swissPSO label

With the ID, the certificate can be identified by any interested party on the Ugra website. For this purpose, a unique Internet address (URL) must be accessed in a web browser.

Example:

https://www.ugra.ch/en/certified-companies/?wdt_column_filter[0]=999

The three-digit number at the end of the Internet address (shown in blue) is a variable part of the URL and represents the certificate ID.

The URL can be encoded using a QR code. With the help of a smartphone application, the QR code can be scanned and the destination address can be accessed on the Ugra website.

Fig. 7 – QR Code

3.8.2 Use of the conformity mark

Ugra provides a conformity mark as a digital data record for each certified organization. The organization may use the conformity mark for marketing and advertising purposes during the period of validity of the certification, such as the homepage, business correspondence or other advertising material and documents.

The conformity mark serves the purpose of marking the conformity of a product within the scope of the applied certification programs. In the case of printed products, the direct marking is in most cases not possible since the printing company produces the product as the contractor of its customer. Where possible, the product or an indirect product package (e.g. covering box) may be marked with the conformity mark.

The Ugra conformity mark is legally protected. The use of the conformity mark is described in Rules for the reference to certifications[1]. The correct use is monitored by Ugra on a random basis.

1) URL: https://www.ugra.ch/konformitaetszeichen/

3.8.3 Certificate

Ugra provides a certificate of conformity for each certified organization. The organization may use the certificate for marketing and advertising purposes during the period of validity of the certification.

The certificate contains the name of the organization, the certified certification programs (scope), the certification ID, the validity and a QR code.
For organizations based in Switzerland, the certificate also contains the swissPSO label.


Zertifikat

Druck & Medien AG

hat sich einer Prüfung nach ProzessStandard Offsetdruck unterzogen und wird die Konformität der angewendeten Zertifizierungsprogramme bestätigt.

SWISS PSO

Die Druck & Medien AG ist berechtigt, die Konformitätszeichen ugra.swiss™ und swissPSO® zu verwenden.

Zertifikat-ID: 000
Gültigkeit: 01.01.2020
Geltungsbereich: 1-4, 5-7, 8

St. Gallen, 01.01.2017

Zertifizierungsstelle: Mathias Schunke
Auditor: Guy Flüeli

Ugra Lerchenfeldstrasse 5 CH-9014 St.Gallen Tel. +41 71 552 02 40 www.ugra.swiss

Fig. 8 – Certificate, Switzerland


Certificate

Print & Media House

has been surveilled and audited according to ProcessStandard Offset. The conformity of the applied certification programs is confirmed.

Druck & Medien AG est autorisé à utiliser la marque de conformité ugra.swiss™ pendant la période de certification.

Certificate ID: 000
Validity: 01.01.2020
Scope: 1-4, 5-7, 8

St.Gallen, 01.01.2017

Certification body: Mathias Schunke
Auditor: Elmar Metzger

Ugra Lerchenfeldstrasse 5 CH-9014 St. Gallen Tel. +41 71 552 02 40 www.ugra.swiss

Fig. 9 – Certificate, worldwide

3.9 Validity of certification

The certificate of conformity is issued by Ugra for a period of validity of three years. During this certification period, monitoring is carried out according to the certification system through annual surveillance audits.

3.10 Renewal of certification

The renewal of the conformity statement requires a new certification process (recertification) before the end of the current certification period. The renewal of the certification must be submitted to the certification body at least 3 months before the end of the validity period. The certification procedure must be completed before expiry of the current certificate of conformity. This is to ensure the validity without interruption. A new certificate of conformity and a conformity mark will be issued for the renewal of the certification.

3.11 Suspension of the certification

A valid certification may be suspended if one of the following is true:

1. A certified system does permanently not meet the certification requirements;
2. The certified organization refuses or delays, without justification, the realization of a surveillance or a certification audit;
3. The renewal of the certification procedure will not be completed on time;
4. The certified organization asks for suspension.

The suspension of the certification shall be limited to three months and shall be canceled if the reason for the suspension is demonstrable eliminated, otherwise the certificate will be withdrawn. During the suspension the right to use the conformity mark is withdrawn.

3.12 Cancelation or the revocation of a certificate

Ugra shall have the right to withdraw an issued certificate, if

1. the certificate is misused by the certificate holder;
2. The prerequisites, which were given at the time of the certification, are no longer given and the certificate holder does not remedy or correct the deviations.

The revocation of a certificate must be justified and documented by Ugra.

3.13 Complaints procedure

A complaint must be submitted to Ugra in writing and signed by the complainant. The complaint must be sufficiently reasoned and objectively documented. Complaints can only be accepted if Ugra certification body is able to influence the relevant situation. If Ugra accepts a complaint, it initiates corrective measures and informs the complainant. If a complaint is not accepted, then Ugra makes a written statement and charges the expenses.

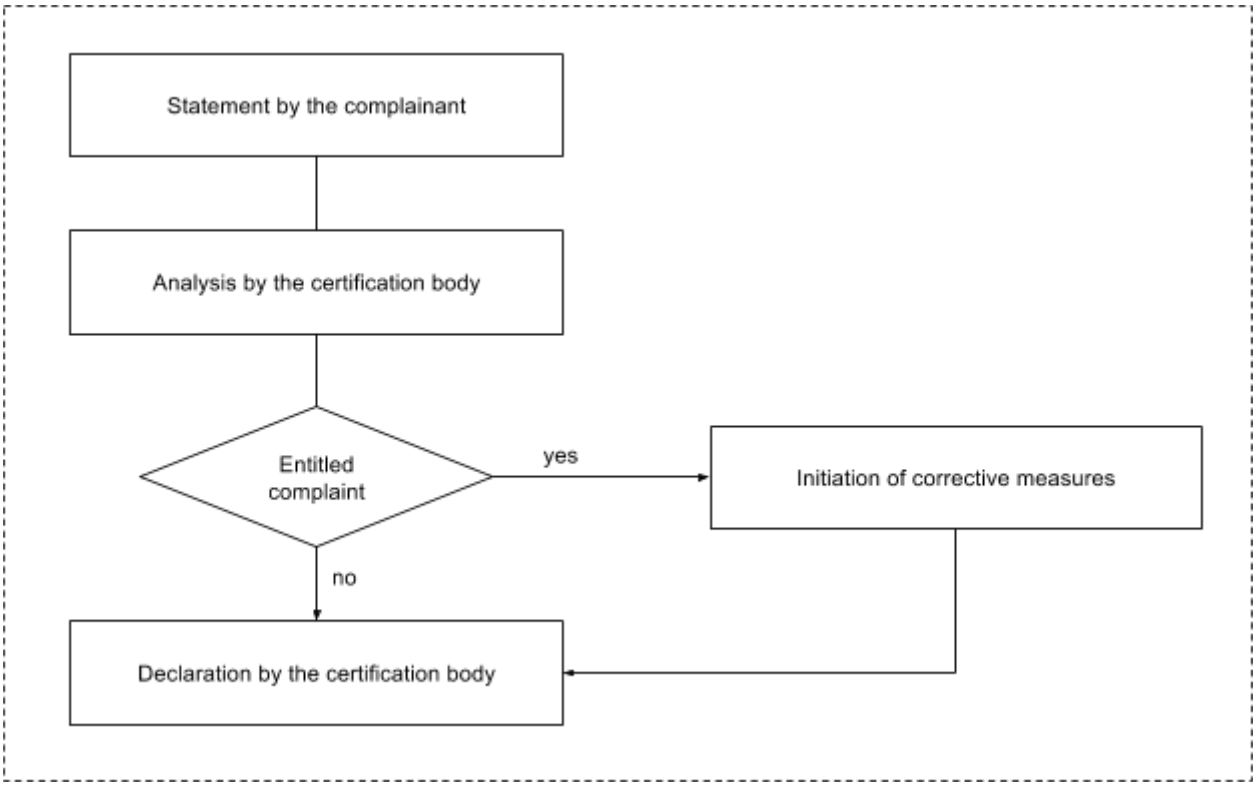

Fig. 10 – Complaints procedure

3.14 Rules for changes to the certification system

Ugra informs the holders of certificates in an appropriate and written manner at

- changes to the certification and surveillance procedure;
- amendments to the certification underlying standards or other requirements;
- as well as any applicable transitional periods.

3.15 Rules in the case of disputes

Place of performance for payments and court of jurisdiction is St. Gallen. Applicable is Swiss law.

Frequently Questions (FAQ)

1. Who should I contact if I am interested in a certification?
   Ugra is your contact for all questions regarding certification.

2. What happens with the label «swissPSO»?
   The label «swissPSO» is maintained. The label is awarded together with the Ugra conformity mark «ugra.swiss» and may only be used by the certified organizations based in Switzerland.

3. We are a foreign organization without a seat in Switzerland. Which label can we use?
   Certified organizations without a seat in Switzerland are granted the right to use the Ugra conformity mark «ugra.swiss».

4. We are a production agency? Which certification programs are relevant for us?
   The certification programs Organization, Documentation, Premedia/Publishing, Standard illumination and Digital Proof apply to production agencies as well as to media prepress service providers.

5. We are a printing company, but we do not offer any layout or image processing. Which certification programs are relevant for us?
   For print shops without layout and image processing all certification programs apply. An exception to this is the certification program Premedia/Publishing, where only the preflight process is audited (section 1.1).

6. We are a full-scale printing company. Which certification programs are relevant for us?
   All certification programs apply.

7. How long is a certificate valid?
   The certificate has a validity of 3 years. For the renewal of the certificate, the recertification audit must be carried out before expiry of the validity date.

For further information, please contact the Ugra certification body:
Telephone +41 71 552 02 40
Email info@ugra.ch

4 Abbreviations

A	Auditor
CB	Certification body
DI	Documented information
DIN	Deutsches Institut für Normung
ETX	End of Text
Fig.	Figure
ICC	International Color Consortium
ID	Identification
ISIC	International Standard Industrial Classification of All Economic Activities
ISO	International Organization for Standardization
NACE	Statistical classification of economic activities in the European Community
NOGA	General classification of economic activities
PDF	Portable Document Format
PSO	ProcessStandard Offset
QR	Quick Response (QR-Code)
RIP	Raster Image Processor
SAS	Swiss Accreditation Service
SNV	Swiss Association for Standardization
STS 0455	Ugra's Accreditation number
TD	Technical Document
UCE	Ugra Certified Expert
Ugra	Swiss center of competence for print and media technology
URL	Uniform Resource Locator
viscom	swiss print & communication association
VPR	Visual Print Reference (Drucktestform)
VSD	Verband der Schweizer Druckindustrie

5 Bibliography

[1] DIN Deutsches Institut für Normung e. V. (2004). *DIN EN ISO/IEC 17000:2005-03 Konformitätsbewertung - Begriffe und allgemeine Grundlagen (ISO/IEC 17000:2004); Dreisprachige Fassung EN ISO/IEC 17000:2004*.

[2] DIN Deutsches Institut für Normung e. V. (2013). *DIN ISO 17067:2013 Konformitätsbewertung – Grundlagen der Produktzertifizierung und Leitlinien für Produktzertifizierungsprogramme*.

[3] ISO International Organization for Standardization. (2003). *ISO/IEC 17030:2003-10 Konformitätsbewertung - Allgemeine Anforderungen für Konformitätsbewertungszeichen unabhängiger Dritter*.

[4] ISO International Organization for Standardization. (2012). *ISO 17065:2012 Konformitätsbewertung – Anforderungen an Stellen, die Produkte, Prozesse und Dienstleistungen zertifizieren*.

[5] Kipphan, H. (2000). Handbuch der Printmedien. Heidelberg: Springer Verlag.

[6] Kneubühler, B., Sigg, F., & Schaub, B. (2010). *Handbuch zur Einführung von swissPSO*. Bern.

[7] Ugra. (2011). Widmer, E. *Zertifizierung von Druckereien nach PSO*. St. Gallen.

[8] viscom. (2012). swissPSO Zertifizierungsschema / Auditkatalog.

[9] viscom. (2016). *Technische Anforderungen und Toleranzwerte für die Printmedienverarbeitung*. Bern.

[10] VSD/publishingNETWORK. (2012). *Gut zum Druck – Information zur Problematik bei der digitalen Produktion*. Bern.

– ETX –