EXAMINATION AND CERTIFICATION REGULATIONS OF SCHIPPER CERTPERS UG PERSONNEL CERTIFICATION

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Appendix 1 to the Quality Management Manual

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Examination and Certification Regulations for the Certification of SGU Personnel (VAZ) within the SCC Framework

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Examination and Certification Regulations for the Certification of SGU Personnel (VAZ) within the SCC Framework

The services of the certification body Schipper CertPers UG (limited liability) – referred to as Schipper CertPers – are open to all interested individuals. The certification body guarantees equal treatment for all applicants by establishing objective criteria for admission, examination, and certification. These criteria are set out in the examination regulations.

Gender note:
For the sake of better readability, the simultaneous use of masculine, feminine, and non-binary (m/f/d) forms has been omitted. All terms referring to individuals apply equally to all genders.

§ 1 Scope and classification of the qualifications

(1) These rules apply to procedures for obtaining qualifications in the field of HSE (Health, Safety, and Environment) personnel; see VAZ 2021, documents -016, -017, and -018.

(2) The examination regulations of Schipper CertPers are available upon request and can be accessed at any time on the certification body's website.

§ 2 Prerequisite for the issuance of a certificate

(1) Regarding admission to the Schipper CertPers certification process and the issuance of a certificate, the following technical and formal requirements apply:

The burden of providing proof lies with the candidate. Schipper CertPers archives the personal documentation for 10 years.

Vocational training in Germany	**Vocational training abroad**	**Semi-skilled or unskilled individuals from within the country and abroad**
Individuals who have completed vocational training in accordance with the Vocational Training Act (BBiG), or individuals whose qualifications correspond to qualification group 1, 2, 3, or 4 as defined in Appendix 13 of the Social Code, Book VI (SGB VI). **Proof** of vocational or professional qualification (e.g., skilled worker certificate, bachelor's degree, diploma) or evidence of further educational/professional qualifications (e.g., master craftsman certificate, master's degree)	Individuals whose qualifications correspond to qualification group 1, 2, 3, or 4 as per Appendix 13 of the German Social Code, Book VI (SGB VI), and who possess at least one year of professional experience in Germany—thereby demonstrating familiarity with German occupational safety and environmental protection standards. Required documentation: Foreign vocational training certificate or evidence of higher-level qualifications (e.g., skilled worker certificate, diploma, master craftsman's diploma) + Confirmation from an employer verifying at least one year of professional experience in Germany	Individuals whose qualifications correspond to qualification group 5 (pursuant to Appendix 13 of the German Social Code, Book VI [SGB VI]), but who—by virtue of at least 3 years of professional experience in Germany in a state-recognized apprenticeship occupation—have acquired skills typically equivalent to those of individuals in the higher qualification group 4, and who consequently possess knowledge of German occupational safety and environmental protection standards. Proof: Confirmation from an employer regarding at least 3 years of professional experience in Germany in a state-recognized apprenticeship occupation.
Valid SGU training, including the examination, in accordance with Doc. 016 **Proof/Documentation**: SGU examination certificate in accordance with Document 016		
or a currently valid SGU examination in accordance with document 017 or 018 **Proof/Docuentation:** SGU examination certificate in accordance with document 017 or 018, or VCA diploma, listed in the Centraal Diploma Register (www.vca.ssvv.nl) (Netherlands)		

[1] List of recognized training occupations pursuant to Section 90, Paragraph 3, No. 3 of the Vocational Training Act (BBiG), published in the announcement by the Federal Institute for Vocational Education and Training (BIBB), most recently on May 15, 2019 (Federal Gazette [Bundesanzeiger], most recently BAnz AT 28.07.2017 B9). [2] If the validity of an SGU (Safety, Health, and Environment) examination certificate - in accordance with Doc. 016, 017, or 018 - has expired, it may, in exceptional cases, be accepted for the purpose of meeting the entry requirements, provided that the re-examination takes place within 3 months of the expiration date of the previous certificate.

(1) The candidate must provide proof of completed vocational training in accordance with the Vocational Training Act (BBiG), or an equivalent or higher-level qualification. In Germany, all vocational training programs include components covering occupational safety and environmental protection. Documentation confirming this will be accepted.

When documentation of vocational training completed abroad is submitted, it is the candidate's responsibility to provide evidence regarding the content and duration of the training, with particular attention given to occupational health and safety as well as environmental protection. The accredited personnel certification body reviews the submitted documentation and determines whether this entry requirement has been met.

(2) The application must be accompanied by proof of education, professional experience, and training courses attended; these documents must be submitted no later than the start of the examination.

(3) The application must be accompanied by proof of education, professional experience, and training courses attended; these documents must be submitted no later than the start of the examination.

(4) As a general rule, professional experience requires that an individual has been employed—either in a formal employment relationship for at least 35 hours per week or through freelance work of an equivalent scope.

(5) The training required for admission to the examination must have been conducted by a training provider approved by Schipper CertPers.

§3 Documents to be submitted for admission to the certification process and verification of supporting evidence.

(1) The applicant may submit the application for certification—including an indication of the qualification to be obtained—along with the relevant supporting documentation (as per § 2), to the certification body at any time.
Along with the certification application, the candidate must provide the certification body with the following documents:

- Application for personnel certification (available for download at www.schipper-certpers.de)
- Proof of education/training

Confirmation of professional experience from the employer/client (see § 2). This confirmation must include the duration of employment, the employee's/contractor's area(s) of responsibility, documentation of the training courses successfully completed (see § 2), and a copy of the certification application signed by the applicant

(2) The certification application must include information regarding:

- the candidate,
- the desired certification credential,
- education and training,
- professional experience, and
- courses attended.

The certification application must be signed by the candidate.

§4 Review of the submitted documents

(1) The certification body verifies the completeness and formal correctness of the application documents—including the supporting evidence—as well as whether the eligibility requirements have been met. The application documents are considered complete if the documents specified in Section 3 (1) are provided in full and in the prescribed format, and if the information required under Section 3 (2) is fully included in the certification application.

(2) If the formal and/or technical requirements are not met - either in part or in full - the candidate will be notified and, if applicable, asked to make the necessary improvements.

(3) Once the formal requirements (see § 3) have been met, an order confirmation signed by Schipper CertPers will be sent to the candidate.

§5 Examination location and dates

Schipper CertPers determines the dates and locations for examinations. These are made known to candidates upon request and through public announcement. Examinations are also held at the conclusion of training courses provided by training organizations recognized by Schipper CertPers. Applicants may withdraw before an examination begins; in such cases, the examination is considered not to have been taken. If an applicant withdraws after an examination has commenced, the examination is considered to have been taken. Assessors from the accreditation body DAkkS are authorized to observe examinations on-site.

§6 Examination procedure for operational managers (SCC-VAZ Document 017)

(1) The examination is conducted by an examiner appointed by Schipper CertPers. The examination may also be supervised by a proctor appointed by Schipper CertPers.

(2) The personnel certification body ensures that only the current SGU examination question catalog is used. The examination consists of 70 questions, which must be completed within a maximum of 105 minutes. For the multiple-choice questions, four possible answers are provided, only one of which is correct.

(3) The examination is considered passed if at least 70% of the maximum possible score is achieved (49 correct answers). The examiner is not authorized to inform the candidate of the examination result—i.e., whether they have "passed" or "failed."

(4) The examination is documented in the examination record (FB C10) by the examiner appointed for the examination.

§7 Examination procedure for operational personnel (SCC-VAZ document 016/018)

(1) The examination is conducted by an examiner appointed by Schipper CertPers.

(2) The personnel certification body ensures that only the current SGU examination question catalog is used. The examination consists of 40 questions, which must be completed within a maximum of 60 minutes. For the multiple-choice questions, four possible answers are provided, only one of which is correct.

(3) The examination is considered passed if at least 70% of the maximum possible score has been achieved (28 correct answers). The examiner is not authorized to inform the candidate of the examination result—i.e., whether they have "passed" or "failed."

(4) The examination is documented in the examination record (FB C10) by the examiner appointed for the examination.

§8 Evaluation by the examiner and the certification body

(1) Der durch Schipper CertPers benannte Prüfer wertet nach der jeweiligen Prüfung die Prüfungsunterlagen aus.

(2) The examiner provides the preliminary audit result to the certification body via the examination report.

§9 Format of the transmitted documents

Documents to be submitted by the candidate—such as the certification application and supporting evidence—must be provided in an unbound format (e.g., held together by file fasteners, staples, or clamping folders). Schipper CertPers and all individuals involved in the examination process are required to maintain strict confidentiality regarding these documents with respect to third parties.

§10 Improper behavior

(1) Improper conduct by candidates (e.g., acts of deception) will result in the examination in question being graded as a fail.

(2) The nature of the improper conduct is documented by the examiner in the examination report and communicated to the certification body.

(3) Candidates are required to sign a confidentiality agreement or another form of agreement in which they commit not to disclose confidential examination materials or participate in any attempts to cheat.

(4) Candidates are prevented from accessing unauthorized aids during the examination.

(5) Mobile devices must be switched off.

§11 Retaking examinations

A failed examination may be retaken an unlimited number of times.

§12 Examination document

All examination documents are retained by Schipper CertPers in accordance with legal requirements—and in any case for at least 10 years from the date of their creation. Candidates have the right to personally inspect their examination documents at the certification body’s offices in Erkrath.

§13 Certification Decision

(1) The decision regarding the granting of the qualification for the respective SCC personnel certification (Doc. 016, 018, 017) is made following the successful completion of the examination and a subsequent review by the head of the certification body.

(2) The certificate is signed by the head of the certification body and sent to the candidate.

(3) The certificate has a validity period of 5 years, and certificate holders are registered.

(4) Certified individuals must not misuse certificates, including any parts thereof (e.g., logos).

(5) The certificate remains the property of the certification body.

(6) If the validity of an SGU examination certificate (in accordance with Doc. 016, 017, or 018) has expired, it may - in exceptional cases - still be accepted for the purpose of meeting entry requirements, provided that a new examination is taken within 3 months of the previous certificate's expiration date.

§14 Publications and notification to VAZ

Personal data will not be published. Newly certified candidates are added to the list of individuals certified by Schipper CertPers. This list includes each candidate's name, full address (including telephone number), their certified SCC professional profile, and the validity period of their certificate.

However, by signing the certification application, the candidate consents to the disclosure of their personal data to the extent necessary in the following cases:

- Requirement from DAkkS GmbH,
- Requirements set by the program owner, VAZ e.V.,
- Confirmation to third parties as to whether, and which, certification has been obtained,

provided that a legitimate interest in obtaining the information has been demonstrated. The provisions of the Federal Data Protection Act are complied with.

§15 Suspension, withdrawal, or restriction of the scope of certification

(1) The certification body monitors the correct use of issued certificates to the extent of its capabilities. Any reports - for example, from third parties - regarding improper use will be investigated.
Furthermore, certified individuals are required to document and archive any complaints received that fall within the scope of the certificate, and to make these records available to the certification body upon request. The certificate holder must inform the certification body if they become aware that third parties are making improper use of their certificate of competence.

(2) A certificate will be annulled if the requirements for holding it are no longer met - for example, in the event of its misuse. The certification body will seize or withdraw the certificate, and the entry in the list of certified individuals will be deleted.

(3) No suspension or limitation of the scope is provided for.

§16 Code of Conduct

In Germany, annual occupational health and safety training for all personnel (employees and managers) is a legal requirement (Section 12 of the Occupational Health and Safety Act [ArbSchG] in conjunction with DGUV Regulation 1, Section 4). Furthermore, specific training for employees is mandated in various contexts—for example, under Section 9, Paragraph 1 of the Occupational Health and Safety Act (for hazardous tasks); Section 12, Paragraphs 2 and 3 of the Biological Agents Ordinance; Section 9 of the Industrial Safety Ordinance; Section 4 of the Ordinance on the Handling of Loads; Section 3 of the Ordinance on the Use of Personal Protective Equipment; Section 14 of the Ordinance on Hazardous Substances; and Section 6 of the Major Accidents Ordinance. Such training may be incorporated into the aforementioned annual training sessions.

In SCC-certified companies, so-called "toolbox meetings" are also required (as per mandatory question 4.1 on the SCC checklist); these are monthly training sessions held at the workplace, covering a variety of topics related to occupational health and safety and environmental protection.

The examination candidate commits to participating regularly (at least annually) in the employer's occupational safety training, as well as to protecting the environment and working safely.

§17 Extension of the certificate (re-certification)

Re-certification is conducted in accordance with the examination procedures described in Chapter 5 (a full examination) and is therefore equivalent to the initial certification.

§18 Customer satisfaction

To assess customer satisfaction, candidates are asked to answer a few questions regarding the quality of the certification process once it has been completed. The questionnaire provided for this purpose is given to the candidates upon conclusion of the process.

§19 Alteration Service

The candidate or certified individual is responsible for keeping themselves informed on an ongoing basis regarding any changes to the procedures, descriptions, documents, and forms relevant to the certification process. To this end, they must consult the appropriate sources, primarily the Schipper CertPers website (www.schipper-certpers.de).

§20 Complaint and Objection

(1) Any objections or complaints must be submitted in writing to the certification body within one month of the examination. The receipt of a complaint or objection will be acknowledged in writing to the complainant or the party filing the objection within 10 working days.

(2) The objection or complaint will be processed by the head of the certification body - or their deputy -within two months and answered in writing.

(3) Should the complainant not be in agreement with the outcome, the complaints committee of Schipper CertPers may be called upon.

Annex to § 2 of the Examination Regulations of Schipper CertPers

Social Code – Book VI
Statutory Pension Insurance

In the version of the Act to Intensify the Combat against Undeclared Work and Related Tax Evasion of 23 July 2004 (Federal Law Gazette I, p. 1842 (BGBl, I S. 1842))

Appendix 13

Definition of qualification groups

Insured persons shall be classified into one of the qualification groups listed below if they meet the qualification criteria for that group and have performed the corresponding work. If, as a result of many years of professional experience, an insured person has acquired skills that are generally equivalent to those of individuals in a higher qualification group, they shall be classified into that higher qualification group.

Qualification Group 1

University graduates

1. Individuals who have earned a diploma or passed a state examination through full-time, distance, evening, or external study programs at a university, college, technical college, academy, or an institution with university-level status.

2. Individuals who have been awarded an academic degree or title on the basis of legal provisions or academic achievements (e.g., an attestation in the field of adult education, an honorary doctorate [Dr. h.c.], or the title of professor).

3. Holders of equivalent graduation certificates from state-recognized higher education institutions and universities.
   This does not include individuals who participated in an abbreviated, specialized course of study (e.g., a partial program) that did not culminate in the awarding of a diploma or a state examination degree.

Qualification Group 2

Graduates of vocational schools

1. Individuals who have obtained a vocational school qualification—through any mode of study or as external candidates, in accordance with applicable legal regulations—at an engineering or vocational school, and who have been awarded a professional title corresponding to that vocational school education.

2. Individuals who, by virtue of legal provisions, have been granted a vocational school qualification or a professional title derived from vocational school training within the accession territory.

3. Individuals who have completed a course of study at state-recognized intermediate or advanced vocational schools outside the accession territory - where such training met the requirements for a vocational school qualification as defined within the accession territory - and who hold a corresponding certificate.

4. Technical professionals who were authorized to use the professional title "Techniker" (technician), as well as professionals who were authorized to use a title equivalent to "Techniker" under the occupational classification system in the accession territory (e.g., topographer, mine overseer).
   This category does not include individuals who attended a technical college program that did not lead to a formal technical college qualification, nor does it include master craftspeople ("Meister"), even if their training took place at an engineering or technical college.

Qualification Group 3

Master

Individuals who possess documentary proof of a completed qualification as a *Meister* (master craftsman) or who have been granted the status of *Meister* based on many years of professional experience, in accordance with the legal provisions applicable in the accession territory.
This does not include individuals who hold a position as a *Meister* or use the term "*Meister*" as a job title but do not actually possess a formal *Meister* qualification (e.g., *Platzmeister* [yard foreman/supervisor] or *Wagenmeister* [wagon inspector]).

Qualification Group 4

Skilled worker

Individuals who have passed the skilled worker examination - either through vocational training or as part of an adult qualification program following the completion of training in a recognized skilled trade - and who hold a skilled worker certificate (*Facharbeiterbrief*); or individuals who have been granted skilled worker status based on many years of professional experience, in accordance with the legal provisions that applied in the accession territory.
This category does not include individuals who, through vocational training or adult qualification programs, received training only in specific sub-areas of a skilled trade, as defined by the classification system for vocational trades in the accession territory.

Qualification Group 5

Semi-skilled and unskilled tasks

1. Individuals who have completed training in specific aspects of a recognized occupation - whether through vocational training or adult qualification programs - and who hold a corresponding certificate.

2. Individuals who have been trained for a specific task through production-related or other specialized training.

3. Individuals without training or specialized instruction for the work they are performing.

Change history

Date	Page	Designation
11.10.2023	11 and in general	Change history included and header section modified on every page
13.05.2025	P. 6, § 12	Retention period for examination documents
13.10.2025	P. 2 § 2 u. P. 5 § 12	Retention period for examination documents
28.10.2026	Cover page	New design